



## ***Grantee Guidelines***

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## Introduction

The Grantee Guidelines document was created by the Victims' Services Program to assist organizations who are funded with Victims' Services funds, in creating policies and procedures which are in compliance with federal rules and regulations, state laws, state administrative rules, and other requirements established by the Victims' Services Programs.

There have been numerous updates to the Grantee Guidelines that organizations should reference. The items that are allowed as eligible expenses for reimbursement has been expanded upon; indirect costs can now be requested for reimbursement. It is recommended to reference the Indirect Costs section of this manual for further clarification of what this entails.

Another change with FY20 is that Victims' Services has increased the hourly match rate from \$12.00/hour to \$24.69/hour. This is for individuals who provide volunteer crisis line coverage during non-office hours and those individuals who provide unskilled labor.

Victims' Services has also added policy checklists to help organizations determine what policies and procedures they should have in place and what will be evaluated at annual reviews. It is helpful to use the checklist and review current policies and procedures and check mark items off the list after located in the organizational policies. If you have questions about if your policy contains all aspects of what is required within a certain policy, that policy is further explained in each section whether it is Personnel, Fiscal, Volunteer, etc.

One large change in VOCA Emergency Services is the allowability to now request reimbursement for assisting victims with staying in their homes. The \$500 maximum/client per year is still placed as a cap; however, rental assistance, rental deposits, utility assistance and utility deposits are now allowable. Another addition/requirement of subgrantees receiving Victims' Services funding for personnel/payroll is the requirement of a **perjury statement**. Please refer to page 68 for more information.

This document has been a developing document over the previous years to combine all of the information that subgrantees and organizations should be aware of into one location. This is meant to be used as a tool to assist in enhancing services and to make options and evaluations of domestic violence and sexual assault programs more effective. If there are further questions, please contact the Victims' Services Program for additional guidance.

With all of the changes beginning in SFY20, Victims' Services will be utilizing a new grants management system referred to as MAVIS (Managing Assistance for Victims Services). MAVIS will be in development through parts of the grant cycle and will have its own user manual. There will be trainings and tools available prior to implementation.

**For the purpose of this document, all subgrantees using and receiving Victims' Services funding will be referred to as "organizations."**

## *Grant Eligibility Guidelines*

To be eligible to receive Victims' Services funding, an organization must:

- Be a public or non-profit organization that provides direct services to victims of crime. To receive SASP funding, organizations must be a non-profit, non-governmental that provides direct services to victims of sexual assault crimes.
- Have a history of providing effective direct services to victims of crime.
- Have the support and approval of its community as evidenced through letters of support provided during application process.
- Have a history of providing direct services in a cost-effective manner.
- Be able to meet the program match requirements, using non-federal funds committed for direct victims' services.
- Utilize volunteers in the provision of services. The State may determine if there is a compelling reason to waive this requirement.
- Promote, within the communities served, a coordinated approach to serving victims of crime that minimizes duplication of effort and contributes to better and more comprehensive services to crime victims. Coordination may include, but is not limited to serving on State, federal, local, or Native American task forces, commissions and/or working groups and developing written interagency agreements.
- Assist eligible victims of crime with information about and access to Crime Victims' Compensation (CVC) Program benefits. This assistance includes referring identifying crime victims and advising them of the availability of CVC benefits, assisting eligible victims with CVC application forms and procedures, obtaining necessary documentation, monitoring claim status, and intervening on behalf of victims who have applied for assistance from the CVC program.
- Comply with applicable provisions of the Victims' Services Guidelines, the Office of Justice Programs Financial Guide, and the Office of Violence Against Women Financial Grant Management Guide. This includes maintaining appropriate programmatic and financial records that fully disclose the amount and disposition of funds received. For example, financial documentation for disbursements, daily time and attendance records specifying time devoted to allowable victims' services, client files other sources of revenue that



support any portion of victims' services, job descriptions, contracts for services, other records which facilitate an effective audit, records retention, and compliance with monitoring and/or audit activities and requirements.

- Maintain statutorily-required civil rights information on victims served by age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion.
- Permit reasonable access to organization books, documents, papers, and records to determine whether the recipient is complying with applicable civil rights laws.
- Provide services to victims of federal crimes on the same basis as victims of State crimes.
- Provide a variety of services and assistance to victims of crime.
- Provide services through the funded program at no charge to victims of crime.
- Maintain confidentiality of client information.
- Prohibit policies that deny individuals access to services based on their relationship to the perpetrator.
- Prohibit policies and practices that impose restrictive conditions to be met by the victim before they can receive services.

### *Ineligible Organizations*

Organizations and activities are not eligible to receive funding if they:

- Focus primarily on lobbying or raising public awareness.
- Primarily crime prevention agencies, organizations or programs.
- Organizations or programs in which victims of crime are not the sole or primary beneficiaries (e.g., witness management or witness notification programs).
- Federal agencies, including U.S. Attorney's Offices.
- In-patient facilities designed to provide treatment to individuals with drug, alcohol and/or mental health related conditions.
- Applicants that provide both victim and witness programs are eligible for funding, but only for that portion of their activities that directly serves victims of crime.

## Grant Overviews

### VOCA

The Victims of Crime Act was passed by Congress in 1984. The Act established a Crime Victims Fund in the U.S. Treasury to collect fines from convicted federal criminals and use those monies to assist people who have been victimized by crime. A portion of the Fund is awarded annually in grants to states, which then sub-grant funding to agencies that provide direct services to crime victims. This annual allotment varies, depending on the amount of money collected by the U.S. Department of Justice (DOJ).

#### **Primary Purpose**

- To provide direct assistance to innocent victims of violent crime throughout the nation.
- To assist victims of crime as soon as possible after the crime occurs, to reduce the severity of the psychological consequences of the victimization.
- To demonstrate ongoing support for victims in coping with the impact of victimization.

#### **Organizations receiving VOCA funds must also:**

- Use volunteers to support services paid for with VOCA funds.
- Maintain substantial financial support from sources other than VOCA. At least 25 percent of the agency's funding in the year of, or the year preceding an award must come from other sources, which can include other federal funding programs.
- Provide effective services to victims of crime and support from sources other than VOCA.
- Provide information about the Crime Victims Compensation (CVC) Program and where to get assistance in applying. Federal VOCA funding includes monies specifically to provide compensation to victims of crime and secondary victims of crime through the CVC Program. Individuals who receive support from agencies through any South Dakota Victims' Services grant-funded programs also may be eligible for assistance through the CVC Program, which can help to cover longer-term costs such as medical and mental health expenses and lost wages.

#### **Match Requirements** (cash or in-kind, or a combination of both)

- 20% of the Total Project Budget for existing and new organizations
- 5% of the Total Project Budget for organizations located on a reservation

VOCA funds cannot be used to cover any costs not directly related to service delivery for victims of crimes. Additionally, organizations cannot use VOCA funds for any of the following:

- Direct payments to victims or any dependents
- Activities that directly benefit the offender/perpetrator
- Construction costs
- Food for staff and/or Board meetings and trainings
- Immigration fees
- Late fees
- Mortgage payments
- Stipends to volunteers or crisis line advocates
- Victim property loss

- Visitation Center services (Visitation Center staff expenses can only include direct service time spent with clients outside of the visit)

*VOCA funds must be expended for providing direct services to victims of a violent crime.*

## FVPSA

The Family Violence Prevention and Services Act (FVPSA) is funded through the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services (ACF).

### Primary Purpose

- To prevent incidents of family violence, domestic violence, and dating violence.
- To provide immediate shelter, supportive services, and access to community-based programs for victims of family violence, domestic violence, or dating violence and their dependents.
- To provide specialized services for children exposed to family violence, domestic violence, or dating violence, underserved populations, and victims who are members of racial and ethnic minority populations.

### Priority

- Not less than 70% of the State's total FVPSA funds must be distributed for immediate shelter and related assistance to victims of family violence and their dependents, dating violence, and domestic violence.
- Not less than 25% of the State's total FVPSA funds must be distributed for the primary purpose of providing supportive and prevention services.

**Match requirements** (cash or in-kind, or a combination of both)

- 20% of the Total Project Budget.

### FVPSA Allowable Costs

- FVPSA funds must be expended only for providing **direct services** to victims of family violence, domestic violence, and dating violence and their dependents. FVPSA also may be used to cover some expenses related to increasing public awareness and prevention of family violence, domestic violence, and dating violence.

### FVPSA Non-Allowable Costs

FVPSA funds cannot be used to cover any costs not directly related to service delivery or public awareness/prevention for victims of crimes. Additionally, organizations cannot use FVPSA funds for any of the following:

- Direct payments to victims or any dependents
- Activities that directly benefit the offender/perpetrator
- Construction costs
- Food for staff and/or Board meetings and trainings
- Immigration fees
- Late fees

- Mortgage payments
- Stipends to volunteers or crisis line advocates
- Victim property loss
- Visitation Center services (Visitation Center staff expenses can only include direct service time spent with clients outside of the visit)

## *STOP/VAWA*

The Services\*Training\*Officers\*Prosecutors/Violence Against Women Act (STOP/VAWA) grant is funded through the DOJ and encourages strategies to combat violent crimes against women, including domestic violence, dating violence, stalking, and sexual assault. South Dakota Victims' Services awards STOP/VAWA grants to two types of groups: agencies that provide victims' services; and law enforcement agencies, prosecution agencies, and courts.

### **Primary Purpose**

- The development and implementation of effective law enforcement and prosecution strategies to combat domestic violence, dating violence, sexual assault, and stalking.
- The development and enhancement of victims' services in cases involving domestic violence, dating violence, sexual assault, and stalking.

### **Priority**

The South Dakota Victims' Services STOP/VAWA State Implementation Plan supports funding for two priority areas:

1. Enhanced Court Advocacy and other core services for victims provided through local domestic violence and sexual assault programs.
2. Specialized Service Programs for the following underserved populations:
  - a. Victims in rural areas
  - b. Native American victims
  - c. Adults sexually abused/assaulted as children
  - d. Survivors of homicide
  - e. Victims of intoxicated drivers
  - f. Victims of robbery
  - g. Victims of elder abuse/neglect

### **Additional Requirements**

Federal guidelines require the State to distribute its STOP/VAWA funds according to the following allocations:

- 25% to law enforcement
- 25% to prosecution
- 30% to victim services (of which at least 10% must be distributed to culturally specific community-based organizations)
- 5% to courts
- 15% may be used for discretionary funding to serve victims of domestic violence, dating violence, sexual assault, and stalking.

### **Match Requirements**

- No match is required for STOP/VAWA victims' services activities and services.
- All other allocation areas (law enforcement, prosecution, and courts) still require 25% match

STOP/VAWA funds cannot be used to cover any costs not directly related to service delivery for victims of crimes. Additionally, organizations cannot use STOP/VAWA funds for any of the following:

- Direct payments to victims or any dependents
- Activities that directly benefit the offender/perpetrator
- Construction costs
- Food for staff and/or Board meetings and trainings
- Immigration fees
- Late fees
- Mortgage payments
- Stipends to volunteers or crisis line advocates
- Victim property loss
- Visitation Center services (Visitation Center staff expenses can only include direct service time spent with clients outside of the visit)

## SASP

The Sexual Assault Services Program (SASP) was created by the Violence Against Women and DOJ Reauthorization Act of 2005 (VAWA 2005), and is the first federal funding stream dedicated to the provision of direct intervention and related assistance solely for victims of sexual assault.

### Primary Purpose

- Provide intervention, advocacy, accompaniment (e.g., accompany victims to court, medical facilities, police departments, etc.), support services, and related assistance for adult, youth, and child victims of sexual assault, family and household members of victims, and those collaterally affected by the sexual assault.
- Support the establishment, maintenance, and expansion of sexual assault services by non-governmental victims' services programs to assist those victimized by sexual assault.

### Program Priorities

- Support rape crisis centers in providing direct intervention and related assistance services.
- Support dual programs that provide sexual assault and domestic violence services to enhance the provision of sexual assault related direct intervention and related assistance services.

### Match Requirements

A contribution of non-federal dollars ("match") is not required for SASP grant awards.

### Additional Requirements

In distributing SASP funds, South Dakota Victims' Services must:

- Give priority to areas of varying geographic size, which show the greatest need. This includes consideration of the range and availability of existing sexual assault programs and the geographic areas they can serve.
- Take into consideration the population of the geographic areas to be served.
- Equitably distribute monies on a geographic basis, including non-urban and rural areas of various geographic sizes.
- Ensure that the needs of previously underserved populations are identified and addressed.

SASP funds are awarded through a competitive review process.

SASP funds cannot be used to cover any costs not directly related to service delivery for victims of crimes. Additionally, organizations cannot use SASP funds for any of the following:

- Direct payments to victims or any dependents
- Activities that directly benefit the offender/perpetrator
- Construction costs
- Food for staff and/or Board meetings and trainings
- Immigration fees
- Late fees
- Mortgage payments
- Stipends to volunteers or crisis line advocates
- Victim property loss
- Visitation Center services (Visitation Center staff expenses can only include direct service time spent with clients outside of the visit)

## *DASA*

The DASA (Domestic and Sexual Abuse Program) grant is funded through the State of South Dakota general funds, with monies appropriated annually by the South Dakota State Legislature.

### **Primary purpose**

- To provide assistance to shelter programs that serve victims of domestic violence and sexual assault.
- To provide training programs for the staff and volunteers of shelter service programs.
- To provide domestic violence and sexual assault prevention and education programs.

### **Priority**

- Priority is given to funding victims' assistance programs that serve victims of sexual assault and domestic violence.

### **Match Requirements**

- DASA grants do not require a match.

### **DASA Allowable Costs**

DASA funds can be used to cover costs related to direct services provided to domestic violence and sexual assault victims. DASA also can be used to cover some administrative expenses associated with serving victims of domestic violence and sexual assault.

### **DASA Non-Allowable Costs**

Just as with all grant programs administered by South Dakota Victims' Services, agencies may not use DASA funds for any of the following:

- Direct payments to victims or any dependents
- Activities that directly benefit the offender/perpetrator
- Construction costs
- Food for staff and/or Board meetings and trainings
- Immigration fees
- Late fees
- Mortgage payments
- Stipends to volunteers or crisis line advocates
- Victim property loss

### *Calculating Match Required*

To calculate the minimum amount of matching funds needed from grants that require a match, use the following formula.

- Determine if the grant requires a match (VOCA and FVPSA require match for Victims' Services funding).
- The amount of funding the organization requests from the grant program.
- Divide the request amount by 100 percent, minus the percent of match required.
- Non-Tribal programs that require a 20% match: divide the request amount by 80%
- Tribal programs that require a 5% match: divide the request amount by 95%.

The result will be the Total Project Cost.

Multiply the Total Project Cost by the percentage of match required (e.g., 20%). This will result in the amount of matching funds needed.

### *Match Documentation Requirements*

Matching funds requirements as outlined in Federal 2 C.F.R. Part 200, Uniform Guidance and Cost Principles:

- Verifiable from the recipient's records;
- Necessary and reasonable for proper and efficient accomplishment of the project or program objectives;
- Not paid for by the federal/state government under another award (except where authorized by federal/state statute to be used for cost sharing or matching); and
- Allowable and provided for in the approved budget.

For volunteer or on-call hours being reported, most organizations send a calendar showing the number of hours each day and the individual volunteering. This makes it so a clear number of hours volunteered can be determined. For other direct service activities, the same activity logs that employees complete or something similar will need to be provided. This is due to the fact the hours donated have to be allowable under federal funding as if they were being requested for reimbursement.

Victims' Services has set a \$24.69/hour match rate for individuals who provide volunteer crisis line coverage during non-office hours. This match rate has also been set for those individuals who provide unskilled labor. Administrative duties, as well as time donated for fundraisers **CANNOT** be reported as match. Professional services that are donated free of charge can be reported as match at the rate they would have normally been charged at.

Discounted or reduction in costs provided shall be valued as the difference between what the organization paid and what the provider's nominal or fair market value is for the good or service (counseling).

### Indirect Costs

Indirect costs may be charged to an award only if:

- a) The recipient has a current (unexpired), approved negotiated indirect cost rate; or
- b) The recipient is eligible to use, and elects to use, the de minimis indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 CFR 200.414(f).

**Negotiated rate:** For federal grants, indirect cost rates are negotiated between the organization and a specific agency ("cognizant agency for indirect costs") that is designated to determine that organization's rate. (State administering agencies may approve rates for their subrecipients.)

**De minimis rate:** Certain organizations that have never before negotiated an indirect cost rate may be eligible to apply a de minimis 10-percent rate that does not require a negotiated rate agreement (details below).

**Additional information:** Additional information about indirect costs can be found on page 100 of the 2017 DOJ Grants Financial Guide. <https://www.justice.gov/ovw/file/1030311/download>

***\*\*Above Indirect Cost Information provided by Questions and Answers, Victim of Crime Act (VOCA) Victim Assistance Final Rule <https://www.govinfo.gov/content/pkg/FR-2016-07-08/pdf/2016-16085.pdf>***

**Unallowable costs** are costs that may not be charged to a federal award, either as direct or indirect costs. An organization is not necessarily prohibited from incurring unallowable costs at their own expense, but they cannot be recovered either directly or indirectly under a federal award. If unallowable costs are to be incurred, a recipient or subrecipient must establish separate accounts for such costs.



### *De Minimis Indirect Cost Rate Availability*

As indicated earlier, under 2 C.F.R. Part 200 Uniform Requirements, certain award recipients — as well as certain subrecipients — may charge indirect costs using a *de minimis* rate. The *de minimis* rate is 10% of "modified total direct costs," as defined in 2 CFR 200.68.

This *de minimis* rate is available without the need to negotiate with the cognizant federal agency for indirect costs. However, the *de minimis* rate is an option **only** for recipients and subrecipients that have **never** received an approved federally-negotiated indirect cost rate.

Any award recipient or subrecipient with a prior approved federally-negotiated indirect cost rate — even if it expired long ago — may **not** use the *de minimis* rate. Also, under the provision set out at 2 C.F.R. 200.414(f), State and local government departments or agency units that receive more than \$35 million in direct federal funding (as described in paragraph D.1.b of Appendix VII to 2 C.F.R. Part 200) are ineligible to use the *de minimis* rate.

When the *de minimis* rate is used, costs must be consistently charged as either indirect or direct costs. Double-charging is not permitted. A recipient (or subrecipient) that is eligible to use the *de minimis* rate and chooses to do so may decide at any time to submit an indirect cost proposal to its cognizant federal agency for indirect costs, if it has one. The *de minimis* rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. Absent unusual circumstances (such as an applicable restriction set by federal statute), the decision to charge indirect costs to a DOJ award using the *de minimis* indirect cost rate is an option for the recipient, not a decision for DOJ. The award recipient must, however, satisfy the requirements related to use of the *de minimis* rate as set out in 2 C.F.R. Part 200.

### *Direct Allocation Method*

Some nonprofit organizations treat all costs as direct costs except general administration and general expenses. These organizations generally separate their costs into three basic categories:

1. General administration and general expenses;
2. Fundraising; and
3. Other direct functions (including projects performed under Federal awards).

Joint costs, such as depreciation, rental costs, operation and maintenance of facilities, telephone expenses, and the like are prorated individually as direct costs to each category and to each Federal award or other activity using a base most appropriate to the particular cost being prorated.

This method is acceptable, provided each joint cost is prorated using a base which accurately measures the benefits provided to each Federal award or other activity. The bases must be established in accordance with reasonable criteria, and be supported by current data. This method is compatible with the Standards of Accounting and Financial Reporting for Voluntary Health and Welfare Organizations issued jointly by the National Health Council, Inc., the National Assembly of Voluntary Health and Social Welfare Organizations, and the United Way of America.

Under this method, indirect costs consist exclusively of general administration and general expenses.

*Reference: Appendix IV to Part 200 – Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations; B. Allocation of Indirect Costs and Determination of Indirect Cost Rates; 4. Direct Allocation Method*

Under this method, 10% of Administrative Personnel Costs would be reimbursable. This includes but is not limited to indirect costs such as accounting expenses and salaries and expenses of executive officers. An example is shown below:

Budget Categories	Total
Personnel & Fringe Benefits <i>**Direct Service, Taxes, Workmen's' Compensation, etc.</i>	\$ 215,000
Administrative Personnel Costs <i>**Accounting expenses, salaries and expenses of executive officers**</i>	\$ 65,000
Rent & Operating Expenses	\$ 4,000
Community Education Expenses	\$ 2,500
Emergency Services	\$ 15,000
Furniture & Equipment	\$ 3,000
Travel/ Mileage	\$ 1,500
Development/ Training	\$ 3,500
Repair, Replace, Renovation	-
Telephone	\$ 300
Other Expenses	-
<b>TOTAL BUDGET</b> <i>(Not including Administrative Personnel Costs)</i>	<b>\$ 244,800</b>
10% De Minimis or if organization has Federally Approved Rate	10 %
<b>Allowable Indirect Cost Reimbursement</b>	<b>\$ 6,500</b>
<b>TOTAL BUDGET REQUEST</b>	<b>\$ 251,300</b>

Table 1

The above example shows what would be requested for reimbursement for indirect costs. As South Dakota Victims' Services utilizes a Direct Allocation Method, meaning each joint cost is prorated using criteria determined at the beginning of the grant period. The amount that is unable to be determined for its direct service cost would be the administrative personnel costs such as accounting expenses and the salaries of executive officers. This total for the year has the ability to be requested for reimbursement at the 10% De Minimis rate or Federally Approved Rate with proper documentation. This reimbursement can be requested per federal grant.

In the example above, it was noted that \$65,000 was determined to be the Administrative Personnel Costs for the year. In the example, the organization does not have a federally approved cost rate and is therefore utilizing the 10% De Minimis rate. This would make \$6,500 (10% of \$65,000) the amount that would be allowable for reimbursement.  $(65,000 \times 0.1 = 6,500)$

### *Calculating Indirect Costs per Federal Funding Source*

Indirect costs that are able to be requested for funding are those administrative expenses that cannot be assessed to a specific program but are vital to the operation. It will be determined the total cost of administrative personnel costs for the year. This would be but is not limited to: indirect administrative costs, accounting expenses, salaries and expenses of executive officers. These costs should not be requested for reimbursement from grants previously. An example has been provided below for further clarification:

Funding Source	Amount	% of Budget
VOCA	\$ 127,500	79.3%
FVPSA	\$ 33,250	20.7%
<b>TOTAL</b>	<b>\$ 160,750</b>	<b>100.0%</b>

Table 2

Allowable Indirect Costs Per Funding Source	
VOCA	\$ 5,155.52
FVPSA	\$ 1,344.48
<b>TOTAL</b>	<b>\$ 6,500.00</b>

Table 3

Table 1 shows the example organization has \$65,000 in administrative personnel costs for the grant cycle/year. This organization does not have a federally approved cost rate; therefore, is utilizing the de minimis rate of 10%.

$$\$65,000 \times 0.10 (10\%) = \$6,500$$

It has been determined that \$6,500 would be the max amount across all federal funding sources that can be requested for reimbursement for indirect costs. Now that this amount has been determined, it needs to be figured out what percentage of funding a grant makes up of all federal funding received. In this example, the organization receives \$160,750 in federal funds. To determine the percentage VOCA for example encompasses, you would take the VOCA amount divided by the total federal amount received. So looking at table 2 this would be:

$$\$127,500 \div \$160,750 = 0.7931569230769231 \text{ or } 79.3\% \text{ once rounded}$$

Since VOCA makes up 79.3% of the funding received federally, 79.3% of the allowable indirect costs that can be reimbursed can be charged to VOCA. To determine this, we will take the percentage of the federal funds received times the 10% of indirect costs already previously determined:

$$\$6,500 \times 0.7931569230769231 = \$5,155.52$$

The amount of indirect costs that can therefore be requested for reimbursement from VOCA would be \$5,155.52.

## *Subrecipient (Organization) Expectations*

### *Monitoring*

Victims' Services will conduct an on-site review at least one time every 24 months. The on-site review will consist of a review of the organization mission, policies, review of documents related to employees and volunteers, organization victim procedures, administrative practices and fiscal management.

On-site reviews will include, but are not limited to, a review of the following items:

- Programmatic implementation;
- Data collection procedures;
- Program policies;
- Program by-laws;
- Case files with identifying information redacted;
- Grant income and expenditure reports for selected three month time period;
- Vouchers/billing statements, receipts and timesheets supporting Victims' Services fund expenditures for a three month time period;
- Documentation of reported match;
- Board meeting minutes;
- Documentation of volunteer hours; and
- Brochures.

Victims' Services will conduct a desk review at least one time every 24 months. The desk review will consist of a review of project goals and objectives, services provided to victims and fiscal management.

Desk reviews are utilized with any program not participating in an on-site review and will include, but are not limited to, a review of the following items:

- Review of programmatic implementation;
- Grant income and expenditure reports for the selected three month time period;
- Vouchers/billing statements, receipts and timesheets supporting Victims' Services fund expenditures for a three month time period; and
- Documentation of reported match.

The monitoring schedule for the funding cycle includes Victims' Services staff and/or contracted employees conducting on-site reviews with programs that received a desk review the previous year. The programs that received a desk review the previous year will receive an on-site review. Some of the programs designated for a desk review may have an on-site review if they are deemed high-risk as determined by the risk assessment. Monitoring schedules may be adjusted on a

case-by-case basis. Possible reasons to alter the monitoring schedule may include, but are not limited to:

- A new director;
- Issues or concerns;
- Complaints.

Irregularities or concerns may require increased program monitoring. Any identified irregularities or concerns regarding the program, whether the concerns are generated internally through desk monitoring or reviews of quarterly performance reports and annual reports, through on-site reviews or by external reports concerning the program.

Educational on-site visits may be scheduled with new programs receiving funds for the first time from Victims' Services within six months of the start of the grant contract. The purpose of the visit is to meet staff, evaluate and give guidance regarding the structure of the organization, program administration, fiscal management, compliance with federal and state rules, and educate about Victims' Services computer systems.

### *Reporting Requirements*

Programs are required to track demographic and service information on clients served and matching funds. Programs are required to complete a Quarterly Performance Progress Report and submit via Managing Assistance for Victims' Services (MAVIS).

Quarterly Reports are due on: July 15, October 15, January 15 and April 15.

Programs receiving STOP and SASP are also required to complete an Annual Progress Report using a reporting form from the Muskie Institute. It is suggested programs review the reporting requirements by going to the Muskie Institute website at <http://muskie.usm.maine.edu/vawamei/> to review reporting requirements for STOP and SASP funds. The STOP and SASP Annual Progress Reports are due to the Victims' Services Programs no later than February 15<sup>th</sup> each year.

Additionally, programs are required to submit a Year-end Fiscal Financial Report by July 15<sup>th</sup>, each year. This report will be provided by the Victims' Services Programs near the end of the grant cycle.

*If there are questions on reporting or reporting requirements, those should be directed to the Victims' Services Programs for further guidance.*

### *Drawdown Requests for Reimbursement*

Victims' Services funds will be paid on a reimbursement basis. Requests for payment must be submitted through MAVIS and must include itemized breakdowns of expenses incurred to each

grant and the funds being requested. Documentation of all expenses requesting reimbursement will be required.

### Prorating Guidelines

The definition of *prorate*:

- *To divide, distribute or assess proportionately; a proportional distribution.*

To determine the percentage to be used for prorating, this will be assessed at the estimated funding sources provided at the time of application. Organizations should estimate their total budget for the grant award period. Organizations must prorate items and services based on the value of the portion of the item/service that will be funded by a grant in relation to the item or service's total value. Prorating must be used when an item is not or service is solely utilized by victims.

An example of how to determine prorate amounts is shown below:

Bill Amount		\$ 600.00	
Income Source	Awarded Amount	% of Budget	Total Reimbursement From Each Funding Source
DASA	\$ 5,000	2.9%	\$ 17.65
FVPSA	\$ 15,000	8.8%	\$ 52.94
STOP	\$ -	0.0%	\$ -
VOCA	\$ 85,000	50.0%	\$ 300.00
SASP	\$ -	0.0%	\$ -
Unrestricted/Other	\$ 65,000	38.2%	\$ 229.41
<b>TOTAL</b>	<b>\$ 170,000</b>		

For example, to determine an organization monthly rent amount that may be reimbursed by each funding source, we will use the table above. If the monthly rent for the shelter/office is \$600, the below amounts may be charged or requested for reimbursement:

- DASA can pay for 2.9% or \$17.65
- FVPSA can pay for 8.8% or \$52.94
- VOCA can pay for 50% or \$300.00
- Unrestricted/Other funding must pay for 38.2% or \$229.41

Items that are used solely for victims' services allowable activities, such as shelter phone or crisis line, you may prorate only among Victims' Services funding and not have to utilize other/unrestricted funding. Other/unrestricted funding represents all funding received by the organization that is not Victims' Services funding. This includes fundraising income, United Way, ESG, Marriage/Divorce Fees, Private Funding, etc.

When prorating for SASP expenses, it must first be determined the amount of time an item or service is being utilized on sexual assault related services or on assisting sexual assault victims. Once that has been determined, that amount can be prorated among all funding sources.

Rent and Operating costs which must be prorated to all funding sources include:

- Insurance
- Benefits and Workman's Compensation Insurance costs, must be prorated based on the amount of payroll expenses being allocated to each grant
- Utilities such as electric, security, heat, propane, water, sewer and waste
- Office supplies including stamps and copier fees
- Facility rent
- Shelter supplies such as cleaning supplies and toiletries
- Minor repairs and maintenance
- Telephone costs
- Audit costs

**Note:** Agencies may not use any Victims' Services grant funds to pay for items or services not included in the grant application. If an agency needs or would like to use grant funds for items and/or services that were not originally included in the application for funding, they should contact South Dakota Victims' Services Program Manager Stephanie Pierson

[Stephanie.Pierson@state.sd.us](mailto:Stephanie.Pierson@state.sd.us)

### *Additional Prorating Examples*

**Prorating for shelter supplies, utilities, audit costs, rent, and landline phone costs.** Using Table 1 below as an example, divide the income from each funding source by the total income to determine the prorated percent of income from each source. For instance, the \$20,000 for FVPSA income, divided by the total budget amount of \$120,000, equals 16.7% (round up to the nearest tenth for percentages). The examples below provide additional information to help agencies understand how to prorate expenses correctly. Dollar amounts should be rounded up or down to the nearest whole dollar ( $\leq .4$  round down;  $\geq .5$  round up).

**Table 1 – For use in examples 1 – 3 below**

Agency Funding Sources	Total Income from Funding Sources	Percentage of Total Income from Funding Sources
United Way	\$10,000	8.3%
ESG	\$20,000	16.7%
Other Funds	\$20,000	16.7%
VOCA	\$25,000	20.8%
FVPSA	\$20,000	16.7%
STOP/VAWA	\$10,000	8.3%
SASP	\$10,000	8.3%
DASA	\$5,000	4.2%
<b>Total</b>	<b>\$120,000</b>	<b>100%</b>

#### **Example #1: Rent and Operating Costs – Facility Rent**

If total costs of facility rent for the grant project period were \$7,000, at a maximum, Victims' Services grants could pay for \$4,081 of the total \$7,000

- **VOCA** would cover  $\$7,000 \times 20.8\% = \$1,456$
- **FVPSA** would cover  $\$7,000 \times 16.7\% = \$1,169$
- **STOP/VAWA** would cover  $\$7,000 \times 8.3\% = \$581$
- **SASP** would cover  $\$7,000 \times 8.3\% = \$581$
- **DASA** would cover  $\$7,000 \times 4.2\% = \$294$

Only portions of the expenses funded through the Victims' Services grants can be prorated to the Victims' Services grants. For example, if an organization has an "umbrella program," but uses Victims' Services grants to pay for only the shelter services of that program, then the organization would need to determine the utility expenses related to only to the shelter services and prorate those expenses across Victims' Services grant funding sources and any other sources used.

#### **Example #2: Repair, Replacement, and Renovation Costs**

If total repair, replacement, and/or renovation cost were \$2,500, at a maximum, VOCA funds could pay for **\$520** of the total \$2,500

- **VOCA** would cover  $\$2,500 \times 20.8\% = \$520$
- **FVPSA** cannot be used to pay for repair, replacement, and/or renovation costs = **\$0**
- **STOP/VAWA** cannot be used to pay for repair, replacement, and/or renovation costs = **\$0**
- **SASP** cannot be used to pay for repair, replacement, and/or renovation costs = **\$0**
- **DASA** cannot be used to pay for repair, replacement, and/or renovation costs = **\$0**

Repair, replacement and renovation costs are allowable only under the VOCA grant.

#### **Example #3: Prorating for Workman's Compensation Insurance and Payroll Expenses**

Current payments for Workman's Compensation must be based on prior payroll. The organization must determine all payroll expenses for the timeframe in which Workman's Compensation Insurance is paid. For instance, if Workman's Compensation is paid annually, proration should be based on the last 12 months of payroll; if paid bi-annually, proration should be based on the last six months of payroll; if paid quarterly, proration should be based on the last three months of payroll; and if paid monthly, proration should be based on the last month of payroll. Divide payroll expenses from each funding source by the total payroll expenses to determine the prorated percentage for each income source

**Table 2 – For use in example 4 below**

Agency Funding Sources	Agency Jan-June Salary Expenses	Percentage of Total Income from Funding Sources
Other Funds	\$20,000	36.4%
VOCA	\$13,000	23.6%
FVPSA	\$10,000	18.2%
STOP/VAWA	\$6,000	10.9%
SASP	\$2,000	3.6%



DASA	\$4,000	7.3%
Total	\$55,000	100%

#### **Example #4: Crisis line costs for organizations without SASP funds**

Crisis line costs are prorated a bit differently than other costs; they may be prorated only among Victims' Services funding. Organizations may not include other funding sources in the prorating calculations for crisis line expenses.

If total crisis line costs were \$5,000 for one month, at a maximum, Victims' Services grants could pay for \$5,000 of the total \$5,000

- **VOCA** would cover  $\$5,000 \times 41.7\% = \$2,085$
- **FVPSA** would cover  $\$5,000 \times 33.3\% = \$1,665$
- **STOP/VAWA** would cover  $\$5,000 \times 16.7\% = \$835$
- **DASA** would cover  $\$5,000 \times 8.3\% = \$415$

#### **Example #5: Crisis line costs for organizations with SASP funds**

Crisis line costs for organizations with SASP funds must first account for the proportion of sexual assault calls received in relation to all calls received. For example, an organization receives 200 crisis calls per month, and five of those calls are related to sexual assault. Using the information in Table 3 above, and assuming the agency crisis line costs are \$5,000 for one month:

- Divide the total sexual assault related calls by the total number of calls for the month ( $5/200 = 2.5\%$ ). SASP can be used to pay for 2.5 percent of the crisis line costs for the month, which equals \$125 ( $\$5,000 \times 2.5\% = \$125$ ).
- Subtract the amount that can be allocated to SASP from the total crisis line expenses for the month ( $\$5,000 - \$125 = \$4,875$ ), and determine the amount that can be allocated by grant to the remaining monthly cost of \$4,875.
- **SASP** would cover  $\$5,000 \times 2.5\% = \$125$

At a maximum, other Victims' Services grants could pay for **\$4,875** of the remaining \$4,875

- **VOCA** would cover  $\$4,875 \times 41.7\% = \$2,033$
- **FVPSA** would cover  $\$4,875 \times 33.3\% = \$1,623$
- **STOP/VAWA** would cover  $\$4,875 \times 16.7\% = \$814$
- **DASA** would cover  $\$4,875 \times 8.3\% = \$405$

### **Direct Service Time**

Direct services or services to victims of crime means those services described in in 42 U.S.C. 10603 (d)(2), and efforts that:

- (1) Respond to the emotional, psychological, or physical needs of crime victims;
- (2) Assist victims to stabilize their lives after victimization;
- (3) Assist victims to understand and participate in the criminal justice system; or
- (4) Restore a measure of security and safety for the victim.

*Direct services which funds may be used include, but are not limited to, the following:*

- (1) **Immediate emotional, psychological, and physical health and safety** – services that respond to the immediate needs (other than medical care, except as allowed, but not limited to):
  - a) Crisis intervention services;
  - b) Accompanying victims to hospitals for medical examinations;
  - c) Hotline counseling;
  - d) Safety planning;
  - e) Emergency food, shelter, clothing, and transportation;
  - f) Window, door, or lock replacement or repair, and other repairs necessary to ensure a victim's safety;
  - g) Costs of the following on an emergency basis (i.e., when the State's compensation program, the victim's or (or in the case of a minor child, the victim's parent's or guardian's) health insurance plan, Medicaid, or other health care funding is not reasonably expected to be available quickly enough to meet the emergency needs of a victim (typically within 48 hours of the crime));
  - h) Emergency legal assistance, such as for filing for restraining or protective orders and obtaining emergency custody orders and visitation rights.
- (2) **Personal advocacy and emotional support** – including but not limited to:
  - a) Working with a victim to assess the impact of the crime;
  - b) Identification of victim's needs;
  - c) Case management;
  - d) Management of practical problems created by the victimization;
  - e) Identification of resources available to the victim;
  - f) Provision of information, referrals, advocacy, and follow-up contact for continued services, as needed; and
  - g) Traditional, cultural, and/or alternative therapy/healing (e.g., art therapy, yoga);
- (3) **Mental health counseling and care;**
- (4) **Peer support including but not limited to:**
  - a) Activities that provide opportunities for victims to meet other victims;
  - b) Share experiences; and
  - c) Provide self-help, information and emotional support.
- (5) **Facilitation of participation in criminal justice and other public proceedings arising from the crime:**
  - a) Payment of costs that help victims participate in the criminal justice system and other public proceedings arising from the crime;
  - b) Juvenile justice hearings;
  - c) Civil commitment proceedings;
  - d) Advocacy on behalf of the victim;
  - e) Accompanying a victim to offices and court;
  - f) Transportation, meals, and lodging to allow a victim who is not a witness to participate in a proceeding;
  - g) Interpreting for a non-witness victim who is deaf or hard of hearing, or with limited English proficiency;
  - h) Providing child care and respite care to enable a victim who is a caregiver to attend activities related to the proceeding;

- i) Notification to victims regarding key proceeding dates (e.g., trial dates, case disposition, incarceration, and parole hearings);
  - j) Assistance with Victim Impact Statements;
  - k) Assistance in recovering property that was retained as evidence; and
  - l) Assistance with restitution advocacy on behalf of crime victims.
- (6) **Legal assistance** – including, but not limited to:
  - a) Those other than criminal defense that help victims assert their rights as victims in a criminal proceeding directly related to the victimization, or otherwise protect their safety, privacy, or other interests as victims in such a proceeding;
  - b) Motions to vacate or expunge a conviction, or similar actions where the jurisdiction permits such a legal action based on a person's being a crime victim; and
  - c) Those actions (other than tort actions) that, in the civil context, are reasonably necessary as a direct result of the victimization.
- (7) **Forensic medical evidence collection examinations;**
- (8) **Forensic interviews with certain parameters ;**
- (9) **Transportation of victims to receive services and participate in criminal justice proceedings;**
- (10) **Public awareness** including, but not limited to:
  - a) Development of presentation materials, brochures, newspaper notices, and public services announcements in schools, community centers and other public forums that are designed to inform crime victims of specific rights and services and provide them with (or refer them to) services and assistance.
- (11) **Transitional housing, subject to restrictions;**
- (12) **Relocation;**
- (13) **Coordination of activities** that facilitate the provision of direct services include but are not limited to:
  - a) State-wide coordination of victim notification systems, crisis response teams, multi-disciplinary teams, coalitions to support and assist victims and other such programs, and salaries and expenses of such coordinators;
  - b) Supervision of direct service providers
  - c) Multi-system, interagency, multi-disciplinary response to crime victim needs;
  - d) Contracts for professional services;
  - e) Automated systems and technology.

### *Determining Direct Service Time*

It is required that all individuals paid with Victims' Services funds, utilize timesheets to verify how time is spent. Only direct service time and hours spent on grant specific requirements are eligible for reimbursement from VOCA, FVPSA, STOP and SASP. Organizations should have employees maintain and complete timesheets and/or time logs documenting how time is spent.

This needs to be completed by and signed by the employee then reviewed by a supervisor or superior who is familiar with the employee's activities. An example of a timesheet is shown below. If you need assistance in creating a timesheet or would like a template, please contact the Victims' Services Program.

#### Direct Service Time Example:

Day of the Week	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	HOURS WORKED
Hours Worked	8.00	7.75	8.00	8.00	8.25			40.00
Volunteer/ On-Call Hours	2.00	2.00	2.00	2.00	2.00	24.00	24.00	58.00
<b>DIRECT SERVICES</b>								
Client Contact	2.00	5.00		4.00	3.25			<b>DIRECT SERVICES WEEK TOTAL</b>
Shelter Duties	3.50	1.75		2.00				
Client Paperwork/ ADAP		1.00		1.00				
Support Group/ Prep			3.00	1.00				
Community Education/ Prep			2.00					
Staff/ Volunteer Development								
<b>DIRECT SERVICES TOTAL</b>	<b>5.50</b>	<b>7.75</b>	<b>5.00</b>	<b>8.00</b>	<b>3.25</b>			<b>29.50</b>
<b>INDIRECT SERVICES/ ADMINISTRATIVE</b>								
Office Work	1.25		3.00					<b>INDIRECT SERVICES WEEK TOTAL</b>
Duties not Client Focused					3.00			
Fundraising	1.25				2.00			
Lobbying								
<b>INDIRECT SERVICES TOTAL</b>	<b>2.50</b>		<b>3.00</b>		<b>5.00</b>			<b>10.50</b>
<b>LEAVE/ HOLIDAY</b>								
Holiday								<b>TOTAL WEEK LEAVE</b>
Vacation								
Sick								
<b>TOTAL LEAVE</b>								

Pay Period Totals		
Direct Services	29.50	
Indirect Services	10.50	
Leave/ Holiday		
Grant Eligible	29.50	73.75%

Total Hours Worked Week 1	40.00
Total Hours Worked Week 2	
Total Hours Worked During Period	40.00
Total Volunteer Hours During Period	58.00

In the example above, an employee worked 40 hours with 29.5 of the hours being direct service hours. To figure how much of the salary is eligible to be reimbursed by federal funds, you should determine the percentage of hours worked that were direct service. To do this, you would take the direct service hours divided by total hours worked.

**29.5 direct service hours ÷ 40 total hours worked = 0.7375 or 73.75% of time was direct service**

If this employee had an hourly rate of \$20.21 and we were including the employer's portion of payroll taxes in the request for reimbursement, the eligible amount to request would be as follows:

$\$21.20 \times 40 \text{ hours worked} = \$808.40 \text{ gross pay}$   
 $\$808.40 \text{ gross pay} \times 0.0765 (7.65\%) = \$61.84 \text{ payroll taxes}$   
 $\$808.40 \text{ (gross pay)} + \$61.84 \text{ (payroll taxes)} = \$870.24 \text{ (Total employee's wages including taxes)}$

Now that we know the total for the employee, we can go back to their direct service time and use that percentage to determine how much of their pay can be requested for reimbursement. To do this, take their total pay and times that by the percentage of time that was direct service eligible. Using the same figures and example, this would be:

$$\text{\$870.24 (wages \& taxes)} \times 0.7375 = \text{\$641.80}$$

\$641.80 would be the max amount between all federal funding sources to be reimbursed by Victims' Services. For further clarification or questions, please direct them to the Victims' Services Program.

### *Furniture and Equipment Expenses*

Furniture and equipment expenses must be prorated based on the estimated amount of time the furniture and equipment will be used for direct services to victims or for victim-related activities. If applying to use SASP funding for furniture and/or equipment, the agency also must take into account the amount of time the furniture and equipment will be used for direct services specifically to victims of sexual assault.

For example, an organization purchases a \$900 computer for a Rural Advocate/Sexual Assault Advocate. The Rural Advocate spends approximately 5% of their time working on fundraising, 7% on administrative duties, 20% with sexual assault victims, and 68% with domestic violence victims.

- The agency cannot charge any of the fundraising time (5%) to Victims' Services grants.
- The agency may charge \$63 to DASA for administrative duties (\$900 x 7% = \$63); no other Victims' Services grants can be used to pay for administrative costs.
- The agency may charge \$180 for time spent with sexual assault victims to either SASP, VOCA, and/or DASA (\$900 x 20% = \$180).
- The agency may charge \$612 for time spent with domestic violence victims to either VOCA, FVPSA, and/or DASA (\$900 x 68% = \$612). These costs may not be charged to SASP.
- *The STOP/VAWA grant cannot be used to purchase the computer; STOP/VAWA does not include furniture and equipment as allowable expenses.*

Organizations are required to complete and submit a Furniture and Equipment form for all furniture and equipment purchased with Victims' Services funds. This form should be provided to Victims' Services Program at the same time as the corresponding drawdown request for reimbursement is submitted.

## Policy Requirement Checklist

The Policy Requirement Checklist is meant to be used as a tool to assist your organization in determining if policy updates are needed in accordance with what is required by Victims' Services. Each policy is further detailed out within this resource for more clarification. If you have any questions, you should contact the Victims' Services Program.

Policy Requirement	Does your organization have this policy in place?	
	YES	NO
<b>Core Services</b>		
Crisis telephone and referral services		
Shelter availability		
Community Education		
Types of victim advocacy services available		
Confidentiality of information and restrictions		
Release of client information		
<b>Shelter Services</b>		
Established Shelter House Rules?		
Shelter Orientation Policy		
Motel/hotel shelter services requirements		
Private home us for shelter policy and requirements		
<b>Client Rights and Responsibilities</b>		
Clients are informed and provided policy		
Client rights and non-discrimination		
<b>Non-Discrimination/Harassment (Clients)</b>		
Protected classes against discrimination		
Notify clients of how/where to file complaint		
Limited English Proficiency (LEP) Policy		
Grievance Policy		
<b>Confidentiality</b>		
Define what is confidential information		
Limits to rights on confidentiality		
Release of client information		
Provisions of confidential records		
Grievance procedures to address breach		
Notification to clients of visitors		
Client rights to confidentiality		
<b>Client Services (Non-Shelter Support and Shelter Services)</b>		
Intake and referral procedure requirements		
Eligibility to receive services		
Conflicts of interest		
Transportation services		
Medical care		
Care of children when a parent is absent		

Policy Requirement	Does your organization have this policy in place?	
	YES	NO
<b>Client Services (Non-Shelter Support and Shelter Services) Continued...</b>		
FVPSA Outcome Data		
<b>Safety and Security Standards and Procedures</b>		
Processes and procedures		
<b>Records Retention</b>		
Processes and procedures		
<b>Personnel Policy Requirements</b>		
Criminal records/background check requirements		
Staff hiring and orientation		
Training requirements		
Documenting training and continuing education		
Define who is authorized to make changes to policy		
Pay period, work week and payday defined		
Drug-free workplace		
Smoke-free workplace		
Violence-free workplace		
Full-time and part-time defined		
Harassment policy		
Employee grievance process		
Non-Discrimination Policy/Equal Opportunity/Harassment		
Employee evaluations/performance appraisal		
Employee benefits		
Notification of mandatory reporter requirements		
Statement of Acknowledgment		
Review/update of policy requirements		
Subcontract employees		
Additional policy recommendations		
<b>Volunteer Policies</b>		
Criminal records/background check requirements		
Hiring & orientation		
Training requirements		
Documenting training & continuing education		
Grievance Policy		
Non-Discrimination Policy		
Additional volunteer policies & recommendations		
<b>Fiscal Management</b>		
Annual preparation of formal budget		
Travel reimbursement policy		
Program fiscal year		
Payment of bills		
Purchasing policy		
Check writing policy		
Money handling policy (cash management)		
Surplus property policy		

Policy Requirement	Does your organization have this policy in place?	
	YES	NO
<b>Fiscal Management Continued...</b>		
Donation Policy		
Credit & Debit Card Policies		
Bank statement reconciliation		
Accounting system defined		
Internal controls		
Petty cash fund		
Fund source accounting outlined		
Payroll payment process		
Financial statement approval		
Audit requirements		
Matching/cost sharing		
Program income		
Allowability of costs		
Conflicts of interest		
Property Policy		
<b>Board of Directors/By-Laws</b>		
Purpose of organization		
Board of Directors members		
Board membership term		
Board membership qualifications		
Board membership requirements		

### Core Services

#### *Crisis Referral & Telephone Services*

##### **REQUIRED**

- ☐ Crisis telephone and referral services must be available 24 hours per day, seven days per week.
- ☐ Crisis line must be toll-free or capable of receiving collect calls.
- ☐ The line is answered only by individuals trained to provide immediate assistance.
- ☐ The line is not answered by an answering machine, prompting device or voicemail system.
- ☐ The number for the crisis line is listed in the telephone director for the organization's service area and is printed on any informational material distributed by the organization.
- ☐ The administrative phone when not answered, must clearly direct callers to the crisis line.
- ☐ Organizations that utilize professional answering services, switchboard operators or any other answering system must have signed confidentiality agreements on file.



### **Additional Recommendations:**

- It is recommended that one consistent crisis line number be advertised.
- The crisis line is equipped with a rollover line or similar mechanism to ensure callers do not receive a busy signal.

### *Shelter Availability*

#### **REQUIRED**

- ☐ Shelter must be available 24 hours per day, seven days per week.
- ☐ There must be an advocate able to meet with a client to check them into the shelter within a reasonable amount of time of the client requesting shelter.

### *Community Education*

#### **REQUIRED**

- ☐ Each organization shall have a written policy relating to Community Education.
- ☐ Must include methods to promote understanding, collaboration, and assistance from other agencies and community organizations. The policy must define the methods the organization will use to promote understanding, collaboration and assistance from other agencies, programs and community organizations.
- ☐ Policy must define how the organization plans to publicize the availability of services within the entire service area including methods of publicizing to underserved populations. (If the organization serves multiple counties, the policy should include the methods by which all covered counties are reached.)
- ☐ The policy must reflect the schedule for preventive and education programs, as well as for publicizing service availability to comply with the requirement of SDCL 25-10-28 that prevention and education programs are periodically available to the local community.

If the organization creates a plan to provide community education on an established schedule, through strategic planning or through another method, the document could be referenced in the policy, rather than repeating the entire plan in the policy.

### **Additional Recommendations:**

- Activities such as participating in multidisciplinary meetings or inter-agency groups that are sensitive to and responsive to the needs of victims; participating in community events and health fairs; speaking to groups about the organization and mission, as well as about domestic violence and sexual assault; and collaborating with other agencies to provide more effective services.
- The policy may include the “groups” the organization will seek out on an annual basis to offer professional training opportunities and community awareness activities.
- Does the organization have an evaluation process in place to measure the impact of education programs, professional trainings, and community awareness

activities and outreach activities? An example would be an evaluation completed by the attendees. If yes, the organization may want to include this in the policy, as well as information in the process (i.e., who reviews them).

- Does the organization require staff to record the activities they participate in? If yes, the organization may want to include in the policy what is required to be tracked and how. (Example: Staff who have provided a community education presentation, professional training or community awareness activity, must provide a report to the Director at the end of each month which includes the topic, audience, number in attendance, and duration. (Please note: organizations funded with Victims' Services funds are required to report this information on a quarterly basis in MAVIS.)
- Some common forms of service publication include a organization website; Facebook; distributing brochures; telephone books; radio and television public service announcements; newspaper ads; flyers; posters; and newsletters.

**Source: ARSD 67:56:01:05**

### *Types of Victim Advocacy Services Available*

#### **REQUIRED**

- ☐ Program must ensure the advocacy and services provided are victim centered.

### *Confidentiality of Information and Restrictions*

#### **REQUIRED**

- ☐ Confidentiality of identity, location, records, and information pertaining to any person whom services are being or were provided. **(Also see Confidentiality)**

### *Shelter Services*

#### *Established Shelter House Rules*

#### **REQUIRED**

- ☐ Organization must have established Shelter House Rules.
- ☐ Must notify clients of smoke-free, drug-free and violence-free environment.
- ☐ Must notify clients of the safety and security measures expected to follow while in the shelter. **(See Safety & Security Standards & Procedures)**
- ☐ Shelter House Rules must be provided to the sheltered residents at the time of check-in/in-take.

## *Shelter House Orientation Policies*

### **REQUIRED**

- ☐ Policy must include an explanation of the process that advocates must take when orienting a client to the shelter.
- ☐ Forms clients are required to receive at check-in/in-take as well as which forms require a signature from the client.
- ☐ Use of the phone and how to contact an advocate after hours.
- ☐ Tour of the shelter, including exit doors, fire alarms and other safety measures.
- ☐ Explaining of any other rules of the shelter. Does the organization require a verbal explanation of any of the rules?
- ☐ Each organization must establish and follow a policy stating shelter services shall be provided to eligible individuals in all available settings within the organization's service area.

### **Additional Recommendations:**

- If the organization has a checklist which is completed with the clients at check-in, the policy could make a reference to the checklist and state how the checklist will be completed. For example, client and advocate sign and date the orientation checklist.
- Explaining the process for requesting/using personal items and food

## *Motel/Hotel Shelter Services Requirements*

### **REQUIRED**

- ☐ Any organization that uses a hotel/motel for shelter **MUST** have a signed agreement with the hotel/motel prior to using the hotel/motel. A standard form must be on file at the organization. This form will be reviewed during annual reviews by Victims' Services. This agreement must:
  - Specifically notify the hotel/motel that the client is there for their safety;
  - Confirm the hotel/motel will keep confidential any information about the client including their name;
  - Be signed by the hotel/motel manager or owner. If the organization uses a particular hotel/motel on a frequent basis, then the agreement may be signed annually, rather than each time a client is sheltered.
- ☐ Additionally, the organization must ensure the client in a hotel/motel has access to all core services, including daily contact with an advocate.
- ☐ The organization is responsible for ensuring the hotel/motel is a safe environment for providing shelter services. *See Sample Hotel/Motel Agreement*

## *Private Home Use for Shelter Policy & Requirements*

### **REQUIRED**

- ☐ Have a signed agreement with the private home owner. The agreement must outline the safety and confidentiality requirements and responsibilities of the private home provider

and all of the residents of the home. If a private home is used, the agreement must be given to the Victims' Services Program for review prior to using the private home.

- ☐ Complete a background check on all individuals living in the home, which confirms that no individual living in the household has had a conviction for a crime that would indicate harmful behavior towards children, a crime of violence as defined by SDCL 22-1-2, a sex crime pursuant to SDCL chapters 22-22 or 22-24A or SDCL 22-22A-3, or within the preceding five years, a conviction for any other felony.
- ☐ Provide the Victims' Services Program with proof of insurance covering the home.
- ☐ Have written training requirements for safe home providers. These requirements must meet the minimum safety and confidentiality requirements for a new program employee. Organizations must have documentation of the training completed by the safe home provider(s).
- ☐ Ensure the client in a private home has access to all core services provided by the organization including daily contact with an advocate.
- ☐ Perform an assessment of the safe home prior to use and monitor the home during use. Documentation of this assessment must be on file.

Source: ARSD 67:56:01:03

### *Client Rights and Responsibilities*

#### *Clients are Informed of Rights and Provided Policy*

##### **REQUIRED**

- ☐ Each individual is informed of client rights and responsibilities and is provided a copy in an accessible format during the intake process.
- ☐ Organizations with a high population of clients who are not English speaking, must have a copy of Rights and Responsibilities statements in a format other than English.
- ☐ All organizations must have a written plan in place as to how they will provide a copy in an accessible format to clients who do not speak English proficiently.

### *Client Rights and Non-Discrimination*

##### **REQUIRED**

- ☐ Each individual has a right to receive services in a manner which is client centered and non-discriminatory.
- ☐ Organizations should review the ways in which they provide services to ensure the services are client centered and non-discriminatory.

*(See Non-Discrimination/Non-Harassment Policy (Clients))*

Source: ARSD 67:56:01:05

## *Non-Discrimination/Non-Harassment Policy (Clients)*

### *Protected Classes Against Discrimination*

#### **REQUIRED**

- ☐ At a minimum, the policy must include non-discrimination in the provision of services to the classes of age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion.

### *Notify Clients of how & Where to File Complaint*

#### **REQUIRED**

- ☐ The policy must notify clients of who to file a complaint with, should they feel they have been discriminated against:
  - The policy must inform clients they can file a discrimination complaint with the Department of Public Safety, Victims' Services Programs, 118 West Capitol Avenue. Pierre, SD 57501. Phone (605)773-5884. Email: [VictimsServices@state.sd.us](mailto:VictimsServices@state.sd.us)
  - The policy must inform clients they can file a discrimination complaint with the Office of Justice Programs, Office for Civil Rights, 810 Seventh Street NW. Washington, DC 20531. Phone (202)307-0690.
  - The non-discrimination policy must be given to all clients at intake.
- ☐ Procedures that ensure reasonable services and/or accommodations to individuals in a non-discriminatory way. Examples would be for elderly, diverse cultural backgrounds, persons with mental or physical disabilities, hard of hearing or male victims.

### *Limited English Proficiency (LEP) Policy*

#### **REQUIRED**

Programs must have a written LEP Policy which includes:

- ☐ A process for identifying LEP persons who need language assistance.
- ☐ Information about the language assistance available.
- ☐ How staff will be trained on LEP.
- ☐ Notice to LEP clients that the language services are provided free of charge. (Examples would include posting signs in Intake area, stating in outreach material documents that language services are available, issuing notice in non-English media, distributing notices at schools and houses of worship.)
- ☐ In addition to having a non-discrimination policy and Limited English Proficiency (LEP) Policy, the program must ensure they have procedures in place which ensure reasonable services and/or accommodations to individuals in a non-discriminating way. Examples could include:
  - Elderly;
  - Diverse cultural backgrounds;
  - Persons with physical or mental disabilities;
  - Including hard of hearing;

- Male victims.
- This would include having materials and equipment available to reduce barriers and assist individuals with special needs such as TTY/TTD for persons who are deaf or hard of hearing and Braille or larger print for partially sighted or blind persons.

**Additional Recommendations:**

- Continual monitoring and updating of the LEP Policy for changes as needed.
- The LEP Policy does not need to be located within the Non-Discrimination Policy; however, the organization must have a written LEP Policy. The LEP Policy does not need to be given to all clients.
- For more information about LEP Policy and requirements, please go to <http://www.ojp.usdoj.gov/about/ocr/assistance.htm> or <http://www.lep.gov/index.htm>
- I speak cards can be obtained for free at <http://lep.gov/IspeakCards2004.pdf>

*See Limited English Proficiency (LEP) Policy*

## *Grievance Policy*

### **REQUIRED**

Organizations must have a written policy regarding grievance procedures for clients.

- ☐ Explanation of what types of matters are grieveable.
  - Breach of confidentiality;
  - Discrimination in the provision of services;
  - Harassment and bullying must be included but others may be added as well.
- ☐ Clients should receive a copy of the Grievance Policy at in-take.
- ☐ Clients should also be made aware they have the ability to alert Victims' Services Program to any grievances and not only file internally at the shelter.

**Additional Recommendations:**

- Organizations may also want to post these within the facility at an accessible place.
- It is recommended that the Director not be the final step in grievances and that clients have the option to grieve to the Board of Directors, should they not be satisfied with the Director's response.

**Source: ARSD 67:56:01:06**

## Confidentiality

### *Define What is Confidential Information*

### **REQUIRED**

The organization should define confidential information as it pertains to clients served, records of the clients, and program/administrative records which your organization defines as confidential records (such as personnel files, etc.)

- ☐ The program must comply with state and federal confidentiality laws, including the confidentiality provisions included in the VAWA Act. Policy must be consistent with the provisions in the VAWA in both prosecution and victim advocate matters. The policy should protect victim specific information other than what is discoverable through prosecution-related activities. *(If applicable)*
- ☐ Consequences for violating the Confidentiality Policy.

**Additional Recommendation:**

- ARSD 67:56:01:01 defines “Confidential information,” as any written, oral, or electronic communication between a person seeking or receiving services and an advocate; any records or written, oral, or electronic information identifying an individual seeking or receiving services; and any information relating to services provided to an individual including the location of services. Your organization should refer to this definition when creating your organization’s definition.

### *Limits to Rights on Confidentiality*

**REQUIRED**

- ☐ Policy must include notification that the organization staff and volunteers are required by law to report suspected child abuse and neglect (SDCL 26-8A), as well as the abuse and neglect of an elder or adult with disabilities (SDCL 22-46). Note, for the purposes of this law, South Dakota defines an elder as an individual aged 65 and older.
- ☐ No information beyond what is required under state law, to be in compliance with mandatory reporting, can be provided without a properly executed written Release of Information from the victim.
- ☐ Notification that the organization is required to comply with state and federal laws, as well as court orders.
  - Does your organization have a plan in place if someone wants to serve a subpoena/court order or if law enforcement requests information or records?
- ☐ Notification of other instances which may limit a client’s right to confidentiality. This may include, if the organization knows, or has reason to believe, there is a potential suicidal behavior or threat to harm others that is likely to result in clear, imminent risk of serious physical injury or death to the client or another person.

### *Release of Client Information*

**REQUIRED**

- ☐ Policy must clearly state the organization may not reveal client’s personally identifying information (PII) without informed, written, reasonable time-limited consent by the person about whom information is sought.
- ☐ The Release of Information documented signed by the client must include:

- Identify the individual or entity to which the information is being released. The organization must receive a separate Release of Information for each individual or entity to who the client requests information be released;
- Specify the information to be released;
- Specify the purpose of releasing the information;
- Specify the timeframe in which information may be released; (Timeframe should be for the limited time necessary to meet the client's needs. Timeframe should be selected by the client)
- Be signed and dated by the client and/or the client's legal guardian;
- Be signed and dated by an Advocate;
- Provide that the client may terminate the release at any time;
- Provide that the client's signing the Release is voluntary; and
- Provide notification that information released by fax or email may not be secure.

For more information about Releases of Information, as well as a sample VAWA compliant Release of Information Form (in English or Spanish) visit [www.nnedv.org](http://www.nnedv.org) and click on "Resources," and then "Technology and Confidentiality Resources Toolkits," and "Template," or search Release of Information on the NNEDV site.

### *Provisions of Confidential Records*

#### **REQUIRED**

Provisions addressing access, security and destruction of confidential records:

- ☐ Who has access to client records? This would include information regarding client having access to their own records.
- ☐ Where records are kept to ensure they are secure. (Example: locked file cabinets). Are records protected from fire or other damage?
- ☐ How records are destroyed, who can destroy them and when they can be destroyed?
  - Example: Shredded by (individual's name/title) once authorized by the Executive Director and after they have passed the time stated in the program's records retention policy

### *Grievance Procedures to Address Breach*

#### **REQUIRED**

Grievance procedures to address any violations of confidentiality:

- ☐ Confidentiality policy must include the process for filing a grievance, should a client feel information has been improperly shared, or the policy must state how the client may access the grievance policy.

### *Notification to Clients of Visitors*

#### **REQUIRED**



Provisions ensuring notification to clients when an outside service provider or visitor will be present include:

- ☐ The procedures used to notify clients when an outside service provider or visitor will be present must be stated in the policy. Additionally, clients must be allowed to remove themselves from the area where the service provider or visitor will be.
  - Example of notice could include: Clients will be notified in person by a staff member that an outside service provider is expected to visit the facility on “X” date and at “X” time.
- ☐ Staff will explain the purpose of the outside service provider’s visit, as well as notify the client they are welcome to remove themselves from the area the service provider will be present in.
- ☐ Clients who cannot be reached in person, program will need to define alternative notification method.

### *Client Rights to Confidentiality*

#### **REQUIRED**

A requirement that information regarding each client’s right to confidentiality and the need to protect that confidentiality is provided to each client, organization staff member, volunteer, outside service provider and visitors.

- ☐ The policy must state how the information regarding each client’s right to confidentiality and the need to protect that confidentiality is provided to each group. The information must be shared both verbally and in a written form.
  - Example: The how could be that all visitors and outside service providers will sign a Visitor’s Confidentiality Log prior to working at or entering an area of the facility in which clients may be present. All staff and volunteers will sign the organization’s Confidentiality Statement for Advocates/Employees prior to beginning any work at the facility and all clients will sign a Confidentiality Form at in-take.
- ☐ The organization must have procedures in place which support the policy. This would include any forms given to or signed by clients, organization staff, and volunteers, outside service providers or visitors. As defined in the above example, in most cases the procedures will differ for each group of individuals.
  - Example: Maintenance personnel may be required to sign a form stating they agree they will keep confidential any persons they may see while working at the shelter, as well as any shelter operations they become aware of; however, organization staff may receive more of a comprehensive form.
- ☐ The information given to each client must not only notify them of their rights to confidentiality, but also the rights to confidentiality for other organization participants/clients they may see while at the facility. If the organization has a requirement of clients, staff, volunteers, outside service providers and visitors are to protect the organization location, this should be included in the notification.
- ☐ Clients must be given a copy of the organization’s Confidentiality policy at in-take.
- ☐ If the organization has consequences for violations of the Confidentiality Policy, these must also be included in the policy.

- ❑ Anytime security or surveillance videos are used, survivors or anyone entering your facility must be informed they are being recorded. This must be done through visible signs that state the security camera is in use.
- ❑ Confidential information includes any personally identifying information (PII) collected in connection with services requested. This includes:
  - Demographic;
  - Personally Identifying Information (PII), which includes any individual information such as a date of birth;
  - Racial or ethnic background;
  - Religious affiliation that individually or in combination with any other non-personally identifying information would serve to identify any individual.

**Additional Recommendations:**

- If a visitor will be in an area of the facility in which no clients are present, such as a person comes to drop off donations at the administrative office, then the visitor does not need to be made aware of the client’s right to confidentiality; however, the organization may want to consider hanging a sign in these areas, in case a client would present themselves while the visitor is there.
- Please note that a posted sign should not be used as the only method to notify those individuals you know will be in contact with clients or inside the shelter.
- A sample Visitor Confidentiality Agreement can be found at [nnedv.org/tools](http://nnedv.org/tools) and selecting Templates.
- Organization may want to include items about confidentiality and PII in their policy, especially in how it relates to identifying individuals served that are featured in media and in presentations).
- A sample Client Notice of Rights/Confidentiality Form (in English and Spanish), can be found at [nnedv.org](http://nnedv.org). Click on, “Resources,” and then “Technology and Confidentiality Resources Toolkits,” and “Templates.” Note, this form does not include all of the items required under South Dakota law and administrative rules but it does provide for good information and starting points.
- It is recommended to have Board Members sign the Confidentiality Agreement that organization employees sign.

Source: ARSD 67:56:01:05

**Client Services (Non-Shelter Support & Shelter Services)**

**In-take & Referral Procedure Requirements**

**REQUIRED**

Organizations must make clear what the definition of “in-take” is. For example, does your organization define “in-take” as each time an individual comes into the organization, once each month, once each quarter or annually? When defining in-take, the organization must not go over a one-year period.

- ☐ The forms Advocates are to complete at in-take: telephone in-take; in-person in-take and Shelter check-in:
  - An in-take form must be completed at in-take. The in-take form must have a place to track all of the information which is collected in the MAVIS system.

***See Items to be Included on Organization's In-Take***

- ☐ The Victims' Services Program also requires all services to be tracked. It is common for other forms to be completed in in-take. The forms your organization requires at in-take must be included in the policy.
- ☐ The process Advocates use to explain the available services at in-take.
- ☐ Explain the forms clients seen in-person are to receive at in-take, as well as which forms (if any) require a signature from the client.
- ☐ The referral process of when and to whom.

**Additional Recommendations:**

Factors to consider when creating a referral policy are:

- What does the organization do if a client requests shelter but the facility is at full capacity? Is a referral made at this point?
- How are out of service area referrals handled?
- What does the organization do if a client requests services but is not eligible?
- What does the organization do if a client requests services that are not provided by the program (legal services, counseling services, food bank, etc.?)
- Does the organization maintain an updated list of service providers and their contact information?

***Eligibility to Receive Services***

**REQUIRED**

The organization's service area must be defined in policy. This may be located in eligibility policy or in a separate policy.

- ☐ The policy must define the organization's eligibility standards for sheltered clients and non-sheltered clients, and any criteria for denial of services.
- ☐ Eligibility standards must ensure males and women with male teenage sons are offered services in the same manner as females.
- ☐ Eligibility standards must ensure individuals with disabilities are offered services in the same manner as those without disabilities. If the shelter or office is not ADA accessible, what does the agency do?
- ☐ Eligibility standards cannot mandate participation in services, nor charge a fee for any core services. None of the organization's policies can mandate participation in any program services; this includes but is not limited to attending support groups and participating in benefit programs.
- ☐ Organizations are prohibited from applying inappropriate screening mechanisms, such as criminal background checks or sobriety requirements to receive services.

**Additional Recommendations:**

- Does the individual need to be a victim of domestic violence, sexual assault, and stalking and/or child abuse? If yes, does the organization serve primary and secondary victims? If no, what times of victimization does the individual need to have in order to be served by the organization?
- Are there circumstances in which an individual would be denied services? If yes, are their guidelines for staff to facilitate accessing other resources/services?
  - Example: Could include harm to self or others or have emergency medical needs which could be a danger to self.
- Is there a timeframe in which the victimization must have occurred for shelter services? For non-shelter services?
- Does the client need to be from the service area to receive shelter or support services?
- Does the client need to be over the age of 17 or accompanied by a parent or legal guardian over the age of 17 or legally emancipated to be sheltered or to receive support services? *Note: Under South Dakota state law, victim advocates are required to report child abuse and neglect for anyone under the age of 18.*
- Does the organization allow family pets to be sheltered at the facility? If yes, are there limits to this? If no, are there other options for the pet? Does the organization have an agreement with a pet kennel or shelter to assist with housing pets of clients that are displaced?

### *Conflicts of Interest*

#### **REQUIRED**

- ☐ The policy must define what the organization considers a “Conflict of Interest.”
  - Example definition: A conflict of interest occurs when the interest of a organization staff or advocate potentially has a negative effect on the program, client or the provision of services.
- ☐ The policy must define procedures the organization uses to address conflicts of interest between staff and clients.
- ☐ The requirement of reporting a conflict of interest must be on the advocate and not on the client.
- ☐ If the organization will have disciplinary action for not reporting a Conflict of Interest, this must be stated in the policy.

#### **Additional Recommendations:**

- Clearly defining conflicts of interest examples:
  - A staff member knows or is related to the victim or offender, or a close associate of the victim or offender.
  - The organization’s staff has already provided services to one party in the relationship. (I.e. both parties of an incident of abuse have contacted the program reporting to be the victim).
- When possible, an advocate who does not have a conflict of interest should interact with the client and the client should be assure the advocate with a conflict of interest will not have access to the client’s records.
- If the organization’s policy allows the organization to only serve one person in a relationship, there should be a referral process in place for the other person in the

relationship to receive services elsewhere. The organization will need to ensure the policy and process does not breach the client's confidentiality.

- The size of the community and the size of the organization's staff should be taken into account when creating a Conflict of Interest Policy.
- Does the organization have any prohibitions on staff having personal social media contact with current or former clients? (I.e. Facebook friends, Twitter followers, follower on Instagram, friends on Snapchat, etc.?) If so, these should be included in the policy.

### *Transportation Services*

#### **REQUIRED**

- ☐ The policy must clearly define who, when, where, how and for what reasons the organization provides transportation services to sheltered and non-sheltered clients.
- ☐ Who does the organization provide transportation to? Sheltered and non-sheltered clients?
- ☐ When does the organization provide transportation? During office hours only or anytime?
- ☐ Is transportation limited to inside city limits or is it provided anywhere in the service area?
- ☐ How is transportation provided?
  - Is it provided by organization vehicle, transit/bus tickets, staff personnel vehicle, fuel for a client's vehicle, etc.?
- ☐ Under what circumstances does the organization provide transportation?
  - For any reason or only for appointments such as medical, school, DSS appointments and job interviews, etc.?)
- ☐ The transportation policy given to advocates must require proof of insurance and valid driver's license for all paid staff and volunteers who drive for the organization or transport clients as part of their work responsibilities.
  - Proof of insurance must be kept on file.
  - The organization should define the insurance requirements for staff that transport clients in their personal vehicles.
- ☐ The policy must also notify advocates/staff that texting and driving is strictly prohibited.
- ☐ If transportation is provided in an organization vehicle or staff vehicle, the policy must include notification that child restraints and seat belts will be worn in accordance with SD laws.
- ☐ Any portions of the policy applicable to sheltered clients must be included in the in-take packet or Shelter House Rules.

#### **Additional Recommendation:**

- The transportation policy does not need to be given to non-sheltered clients.

### *Medical Care*

#### **REQUIRED**

- ☐ The policy must define the organization's procedure for assisting a client with receiving medical care.
- ☐ Any portions of the policy applicable to sheltered clients must be included in the Intake packet or Shelter House Rules.

**ADDITIONAL RECOMMENDATIONS:**

- Items to consider with the Medical Care Policy may include:
  - Are clients given referral information for medical providers?
  - Who is responsible for the payment of medical care?
  - Does the organization ever pay the cost of medical care or medication? If yes, when and what is the process for requesting such financial assistance?
  - Would the organization call an ambulance on behalf of the client in an emergency? If yes, VAWA confidentiality requirements must be followed unless the organization has a Release of Information signed.
  - How does the organization address a client coming into the shelter with medication?
  - Please note: we encourage organizations to consult with their attorney in regards to the Americans with Disabilities Act prior to requiring a client to disclose information about their medications or medical condition.

*Care of Children When a Parent is Absent*

**REQUIRED**

- ☐ Policy must define if someone else may provide care to the children at the facility if the parent is absent (i.e. at work, at an appointment, at a counseling or group session, etc.)
- ☐ Portions of the policy in which sheltered clients need to be made aware of must be included in the in-take packet or Shelter House Rules.

**ADDITIONAL RECOMMENDATIONS:**

- Examples of items to include in the policy are:
  - Can residents provide supervision of another resident's child(ren)?
  - Can staff provide supervision of the child(ren)? If yes, when and for what purpose?
  - Are there consequences for leaving children alone at the facility or in the care of another resident? If yes, what is the process staff will follow? (Is DSS called? If so, is the parent encouraged to be involved in the report?)
  - If the organization allows for other residents or staff to supervise another resident's child(ren), is there any form the resident must complete? Stating the time the resident will return, a contact number for an emergency or how to provide emergency medical care should the parent be unreachable.

## *FVPSA Outcome Data*

### **REQUIRED**

- ☐ The organization must have a written policy in place that outlines who will collect the FVPSA Outcome Data, how often and from whom the data will be collected.

See FVPSA Outcome DATA

## *Safety & Security Standards & Procedures*

### **REQUIRED**

- ☐ Staff must be made aware of the procedures staff must follow, as well as the procedures clients must follow.
- ☐ Safety and security measures sheltered clients need to follow must be in the shelter house rules.

### **ADDITIONAL RECOMMENDATIONS:**

- This will likely be included in the Personnel Policies, Employee Manual or other operating procedure manual. Examples include:
  - Keep doors and windows locked;
  - Defining who can answer the door;
  - Location of first aid kits;
  - Use of telephone (shelter facilities are required to have a landline telephone which can be accessed by victims 24/7);
  - Exit locations;
  - Fire extinguisher location;
  - Medication storage;
  - Confidentiality of shelter location;
  - Operation of the security system and panic button;
  - Emergency evacuation in the event of a natural disaster;
  - Storage of hazardous materials/cleaning supplies;
  - Process to follow if an offender shows up at or calls the facility;
  - Policies regarding infectious diseases and the use of Universal Precautions as defined by the Center for Disease Control.

Source: ARSD 67:56:01:06

## *Records Retention*

### **REQUIRED**

Each organization shall have a written policies relating to records retention. The policies must include:

- ☐ A records retention schedule which is compliant with DPS agreements.
- ☐ Per DPS agreement, the organization agrees to maintain or supervise the maintenance of records for the proper and efficient operation of the program, including records and documents regarding applications, determination of eligibility (when applicable), the provision of services, administrative costs, statistical, fiscal and other information records necessary for reporting and accountability required by the State. The organization shall retain such records for **six years following termination of the agreement**, unless pending audit then they must be held for a longer period.
- ☐ Records retention must specifically discuss client, financial and employee records.
- ☐ If your organization uses security or surveillance videos, the retention policy must state when records are purged and should detail any exceptions.

**ADDITIONAL RECOMMENDATIONS:**

- If your organization uses security or surveillance videos, purging every 24-48 hours is suggested, *per NNEDV Technology and Confidentiality Toolkit which can be accessed at <http://nnedv.org/tools/>. Select “Frequently Asked Questions” then “Records Retention and Deletion”, then “What about other types of records, such as security or surveillance videos”.*)
- The Records retention policy may be located within the financial and/or personnel policies, rather than as a separate policy.

Source: ARSD 67:56:01:06

**Personnel Policy Requirements**

**Criminal Records/Background Check Requirements**

**REQUIRED**

- ☐ Criminal records checks must be completed prior to an employee beginning employment with the organization.
- ☐ The policy must explain this, as well as clearly state the type of criminal records check(s) the potential employee will undergo, and how the criminal records check results could affect employment.
- ☐ Complete a background check on prospective employees, which confirms that no individual has had a conviction for a crime that would indicate harmful behavior towards children, a crime of violence as defined by SDCL 22-1-2, a sex crime pursuant to SDCL chapters 22-22 or 22-24A or SDCL 22-22A-3, or within the preceding five years, a conviction for any other felony.



## *Staff Hiring & Orientation*

### **REQUIRED**

- ☐ New employees must sign a statement acknowledging the organization policies, forms and manuals they have received at orientation.
  - This signed statement must be retained by the organization. (Policy should state if employees are required to read this on their own or if a current employee reviews each document with them.)
- ☐ Organizations using a checklist for orientation of new employees must reference the checklist in the policy.

### **Additional Recommendations:**

- Is the organization required to advertise all positions? If yes, is there a requirement for how they will be advertised and the length of time they will be advertised?
- Has the organization set basic qualifications and employment criteria for each position? (Note: Normally this can be found in the job description.)
- Does the organization require an application to be completed or a resume to be submitted?
- Is an interview completed prior to filling a position?
- Does the organization complete reference checks? If yes, how many?
- Who within the organization has the authority to offer a position to an applicant, as well as set the new employee's wage?
- What is the process for notifying the applicant they have been offered the position? Is an employment letter listing start date, salary and position title sent to the employee?
- What steps are hiring staff to take when an employee is hired?
  - Examples: Notifying the New Hire Reporting Center, having a complete W-4 and I9 on file.
- What equipment does the organization require new employees to be oriented on prior to them being able to use it?
  - Examples could include fax machine, security system, telephone, copy machine, etc.)
- What additional items does the organization require the new employee to be oriented on prior to beginning their established duties?
- What is the timeframe in which an employee should have their orientation to the organization completed?

## *Training Requirements*

### **REQUIRED**

- ☐ Define how the organization trains staff to work with clients and how they are trained on the organization's procedures for working with clients. This must include how staff is trained on the client services
- ☐ Specify how the organization will train new staff on the safety issues and safety procedures related to working with the organization. (This could include items such as how to operate the security system, how to handle requests to go to a victims' home, how the organization responds to violence in the facility.)
- ☐ Specify how the organization will train new staff on confidentiality. *Training on confidentiality must entail more than having a new employee read the organization's confidentiality policy*
- ☐ Any staff funded in whole or in part with Victims' Services funds must be trained on MAVIS User's Manual prior to working with clients. Additionally, this training must include information on how services are documented, as well as what can and must be included in a client's file (if clients have an individual file). (Examples: Does the organization prohibit another client's name from being in an individual client's file? Are case notes required and if so must they only include factual information rather than personal feelings?)
- ☐ Any staff responsible for MAVIS entry must be required to read the MAVIS User's Manual prior to using the MAVIS program.
- ☐ Any staff responsible for Victims' Services reporting, fiscal management, and grant writing must be required to read the Grantee Guidelines for portions that pertain, as part of their training.
- ☐ Organizations using a checklist or training manual for orientation of client services must reference the checklist or manual in the policy.

#### **ADDITIONAL RECOMMENDATIONS:**

- Organizations who have a set amount of training which new staff must receive prior to providing direct services, should state in policy the time frame in which this should be completed and the topics they must receive training on.
- Organizations who have a set amount of continuing education/training that existing staff must receive on an annual basis and those require certain topics of training, should include these elements in the policy.

### *Documenting Training & Continuing Education*

#### **REQUIRED**

- ☐ Policy must clearly state how training will be documented for staff and include the following:
  - How the employee's initial orientation training time will be documented.
  - Training dates, length of time, location, topic and trainer. (If the organization has a standard training form which is completed by staff/volunteers, this form must be referenced in the policy.)
  - Timeframe in which an employee should turn in training documentation and to whom.
  - The location where the organization will keep the employee/ volunteer's training documentation

#### **ADDITIONAL RECOMMENDATION:**

- Organizations that have extensive new employee training manuals may reference these manuals in the policy, rather than re-listing the information that is included in the manual in the policy. Should a manual or a checklist be referred to, these will be reviewed during site visits along with the policies.

#### *Define Who is Authorized to Make Changes to Policy*

##### **REQUIRED**

- ☐ The governing body must be responsible for reviewing and approving all changes to the Personnel Policies.

#### *Pay Period, Work Week & Payday Defined*

##### **REQUIRED**

- ☐ This could be defined in the financial policies rather than in the personnel policies, if all the employees are provided with a copy of the financial policies as part of their orientation.
- ☐ The work week must be defined as a seven day period such as Sunday at 12:01 a.m. to Saturday midnight.
- ☐ Payday policy must define the actual payday and any instances in which the payday may be altered.
  - Example: If a payday falls on a holiday or a weekend, how is this handled?
- ☐ The pay period must be defined. (Time worked from “x” to “x”.)
  - Example: Employees are paid every other Monday, for time worked from Sunday of week one to Saturday of week two.

#### *Holidays & Paid Time off Defined*

##### **REQUIRED**

- ☐ As applicable, must include:
  - Annual leave;
  - Sick leave;
  - Administrative leave;
  - Funeral bereavement leave;
  - Maternity leave;
  - Jury duty;
  - Military leave;
  - Absence without pay; and etc.
- ☐ The organization must define if any unused leave is paid at the time of resignation/termination.

### *Drug-Free Workplace*

#### **REQUIRED**

- ☐ Notification to employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the workplace and should specify the action that will be taken against employees for violation of such prohibition.
- ☐ Policy should address what repercussions are for violating this policy.
- ☐ Physically posted that the organization is a drug-free workplace.

### *Smoke-Free Workplace*

#### **REQUIRED**

- ☐ Organization must define what it means to be a smoke-free workplace.
- ☐ If there are designated smoking areas outside for employees, it should be listed in policy.
- ☐ Policy should address what repercussions are for violating this policy.
- ☐ Physically posted that the organization is a smoke-free workplace.

### *Violence-Free Workplace*

#### **REQUIRED**

- ☐ Organization must define what it means to be a violence-free workplace.
- ☐ Policy should address what repercussions are for violating this policy.
- ☐ Physically posted that the organization is a smoke-free workplace.

### *Full-Time & Part-Time Defined*

#### **REQUIRED**

- ☐ Organization must define what is considered full-time and what is considered part-time employment.

### *Harassment Policy*

#### **REQUIRED**

- ☐ Must prohibit harassment and bullying of organization participants based on age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion.

### *Employee Grievance Policy*

#### **REQUIRED**

- ☐ Policy must explain what types of matters are grievable. This must include the discrimination of the federally protected classes, as well as harassment and bullying, as

defined in the harassment policy. The organization may include other items as grievable.

- ☐ Policy must state how to file a grievance and whom to file it with.
  - The grievance policy must inform employees they can file a discrimination complaint with the Department of Public Safety, Division of Legal and Regulatory Services, 118 West Capitol Ave. Pierre, SD 57501. Phone (605)773-3178. Email: [VictimsServices@state.sd.us](mailto:VictimsServices@state.sd.us)
  - The grievance policy must also inform employees they can file a discrimination complaint with the Office of Justice Programs, Office for Civil Rights, 810 Seventh Street NW, Washington, DC 20531. Phone (202)307-0690.

**ADDITIONAL RECOMMENDATION:**

- It is recommended the Director not be the final step in grievances. Employees should have the option to grieve to the Board of Directors, should they not be satisfied with the Director's response.

*Non-Discrimination/ Equal Opportunity/Harassment Policy*

**REQUIRED**

- ☐ Must minimally include, the federally protected classes of age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion.
- ☐ All Employees are required to watch the Civil Rights training video during the grant cycle. The video is located at: <https://ojp.gov/about/ocr/ocr-training-videos/video-ocr-training.htm>

"The Department of Public Safety, Victims' Service Program gratefully acknowledges the U.S. Department of Justice, Office of Justice Programs, National Institute of Justice, for allowing us to reproduce, in part or in whole, the video *Office for Civil Rights – Training for Grantees*. The opinions, findings, and conclusions or recommendations expressed in this video are those of the speaker(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice."

- ☐ After watching the Civil Rights video, employees/staff should sign and date when the video was completed.
- ☐ If the organization is required to prepare an Equal Employment Opportunity Plan (EEOP) in accordance with 28 C.F.R. §§42.301-.308, does the organization have an EEOP on file for review?
  - If yes, what date did the program prepare the EEOP?
- ☐ If the program is required to submit an EEOP Utilization Report to the Office of Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28 C.F.R. §§42.301-.308, has the organization done so?
  - If yes, what date did the organization submit the EEOP Utilization Report?
- ☐ Has the organization submitted a Certification Form to the OCR certifying compliance with the EEOP requirements?
  - If yes, what date did the organization submit the Certification Form?

*If the organization has 50 or more employees AND receives Department of Justice (DOJ) funding of \$25,000 or more, has the program done the following?*

- ☐ Adopted a grievance procedure that incorporates due process standards and provides for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 C.F.R. Part 42, Subpart G, which prohibits discrimination on the basis of disability in employment practices and the delivery of services.
- ☐ Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 28 C.F.R. Part 42, Subpart G.

*If the organization conducts religious activities as part of its organization or services:*

- ☐ Provide services to everyone regardless of religion or religious beliefs.
- ☐ Ensure that it does not use federal funds to conduct inherently religious activities, such as prayer, religious instruction, or proselytization, and that such activities are kept separate in time or place from federally-funded programs.
- ☐ Ensure that participation in religious activities is voluntary for beneficiaries of federally-funded programs.

#### *Employee Evaluations/ Performance Appraisal*

##### **REQUIRED**

- ☐ Must define when this is completed and who is completing.

#### *Employee Benefits*

##### **REQUIRED**

- ☐ Must define what types of benefits are available (if available) to employees:
  - Health;
  - Retirement;
  - Worker's Compensation;
  - Unemployment Insurance;
  - Paid leave.

#### *Notification of Mandatory Reporter Requirements*

##### **REQUIRED**

- ☐ Staff is required to be notified they are mandatory reporters of abuse or neglect of a child, as well as elderly and adults with disabilities and how to make a report (SDCL 26-8A, SDCL 22-46).

### *Statement of Acknowledgement*

#### **REQUIRED**

- ☐ The policy needs to contain a statement for the employee to sign that they have received a copy of the Personnel Policies and have read and understand them.

### *Review/Update of Policy Requirements*

#### **REQUIRED**

- ☐ The policy manual should list the date the Board approved the updates or the date the policy manual was established, or both if applicable.
  - The policy manual should be a document that is updated/ changed when necessary.

### *Contract/Subcontract Employees*

#### **REQUIRED**

- ☐ If your organization uses contract or subcontract employees paid with Victims' Services funds, the following must be followed:
  - Policies must outline how your organization hires contractors/ subcontractors;
  - Victims' Services Program must be provided with a signed contract with the contract/ subcontract employee prior to using any Victims' Services funds to support the project;
  - Contract/ subcontracts must include provisions specified within the Grant Agreement between the agency and the Department of Public Safety;
  - Must outline in the contract/ subcontract document the organization policies that the contractor/ subcontractor is subject to;
  - The organization is responsible for ensuring the subcontractors are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation by any federal department or agency.
- ☐ If your organization does not use funds for contractors or subcontract employees, it should be listed in policy.

### *Additional Policy Recommendations*

- Organization mission statement
- Social media policy (as applicable)
- Discuss what items may/will be withheld from an employee's pay check
- Exempt and non-exempt positions
- Employee probationary period
- Outside employment
- Gifts and gratuities and honorariums
- Work schedules

- Employee expenses
  - Employee compensation
  - Salaries
  - Salary progression
  - Overtime compensation
  - Payroll procedures
  - Payroll deductions
  - Severance benefits
- Personnel files maintenance. What is kept in them and who can view them? The minimum suggested items would be:
  - Signed job description
  - Application or resume
  - Interview records
  - Letters of reference
  - Background check information
  - W4 and I-9 form
  - Emergency contact information
  - Status/compensation change form
  - Records of leave
  - Performance evaluations
  - Copy of driver's license and proof of automobile insurance
  - Signed forms such as a signed confidentiality statement.
- Corrective and disciplinary actions
- Termination of employment (resignation, mutual agreement, employee termination) as well as exit procedures
- Program technology and equipment use
- Whistleblower policy
- Speaking to the media
- Arrest policy
- Breaks
- Lobbying
- Equipment, Internet and Phone use policy
- Establish who has firing/hiring authority
- Nepotism/Conflict of Interest Policy
- Compliance with state and federal laws
- Ethical guidelines for staff behavior
- Organizational Chart
- Educational Assistance and Conference Attendance policy.

Source: ARSD 67:56:01:05

### *Volunteer Policies*

### *Criminal Records/Background Check Requirements*

#### **REQUIRED**



- ☐ Criminal records checks must be completed prior to a volunteer beginning with the organization. The policy must explain this, as well as clearly state the type of criminal records check(s) the potential volunteer will undergo, and how the criminal records check results could affect ability to volunteer.
  - Complete a background check on prospective volunteers, which confirms that no individual has had a conviction for a crime that would indicate harmful behavior towards children, a crime of violence as defined by SDCL 22-1-2, a sex crime pursuant to SDCL chapters 22-22 or 22-24A or SDCL 22-22A-3, or within the preceding five years, a conviction for any other felony.

## *Hiring & Orientation*

### **REQUIRED**

- ☐ New volunteers must sign a statement acknowledging the policies, forms and manual they received at orientation. This acknowledgment statement must be retained by the organization.
- ☐ Policy should state if volunteers are required to read this on their own or if a current employee reviews each document with them.
- ☐ Organizations that use a checklist for orientation of new volunteers must reference the checklist in the policy.

### **ADDITIONAL RECOMMENDATIONS:**

- Although the organization might not use the word “hiring” volunteers, for this purpose “hiring” refers to any process used to accept an individual in a volunteer (unpaid or paid a small stipend below minimum wage) position or duty.
- Has the organization set basic qualifications for volunteer positions? Examples:
  - Are there position descriptions for volunteer positions?
  - Is there an age requirement for volunteer positions?
  - Do certain positions require a driver’s license and automobile insurance?
  - Do certain positions (such as crisis line coverage) require the volunteer to live within “x” miles from the shelter?
  - Do certain positions require a minimum time commitment, and etc.?
- Does the organization require an application to be completed or a resume to be submitted?
- Is an interview completed prior to hiring a volunteer?
- Does the organization complete reference checks?
  - If so, who within the program completes reference checks?
- What equipment does the organization require volunteers to be orientated to prior to them being able to use it? Examples could include:
  - Fax machine
  - Security system
  - Telephone
  - Copy machine, etc.
- What additional items does the organization require the new volunteers to be orientated to prior to beginning a volunteer activity?

- Does the volunteer need to complete the orientation items prior to beginning any volunteer activities?

### *Training Requirements*

#### **REQUIRED**

- ☐ Define how the organization trains volunteers to work with clients and how they are trained on the organization's procedures for working with clients.
  - This must include how volunteers are trained on the client services, as well as how to track the services they provide.
- ☐ Specify how the organization will train new volunteers on the safety issues and safety procedures related to working with the organization. This could include items such as:
  - How to operate the security system;
  - How to handle requests to go to a victims' home;
  - How the organization responds to violence in the facility.
- ☐ Specify how the organization will train new volunteers on confidentiality. Training on confidentiality should entail more than having a new volunteer read the program's confidentiality policy.
- ☐ Programs using a checklist or volunteer training manual for orientation of client services must reference the checklist or manual.

#### **ADDITIONAL RECOMMENDATIONS:**

- Organizations who have a set amount of training which new volunteers must receive prior to providing direct services, should state in policy the time frame in which this should be completed and any mandatory topics.
- Organizations that have a set amount of continuing education/training that volunteers must receive on an annual basis should include these requirements in the policy and any mandatory topics.

### *Documenting Training & Continuing Education*

#### **REQUIRED**

- ☐ Policy must clearly state how training will be documented for volunteers and include the following:
  - How a volunteer's initial orientation training time will be documented;
  - Training dates, length of time, location, topic and trainer;
  - If the agency has a standard training form which is completed by volunteers, this form should be referenced in the policy;
  - Timeframe in which a volunteer should turn in training documentation and to whom;
  - The location where the program will keep the volunteer's training documentation

## *Grievance Policy*

### **REQUIRED**

- ☐ Policy must explain what types of matters are grievable. This must include discrimination of the federally protected classes, as well as harassment and bullying, as defined in the harassment policy. The organization may include other items as grievable.
- ☐ Policy must state how to file a grievance and whom to file it with.
  - The grievance policy must inform volunteers they can file a discrimination complaint with the Department of Public Safety, Division of Legal and Regulatory Services, 118 West Capitol Ave. Pierre, SD 57501. Phone (605)773-3178. Email: [VictimsServices@state.sd.us](mailto:VictimsServices@state.sd.us)
  - The grievance policy must also inform volunteers they can file a discrimination complaint with the Office of Justice Programs, Office for Civil Rights, 810 Seventh Street NW, Washington, DC 20531. Phone (202)307-0690.
- ☐ Policy must define the process the organization will take in regards to the filed grievance, including timeframes for filing and responding and due process standards which provide for the prompt and equitable resolution of complaints.
- ☐ Policies must allow for a grievance process that is accessible to those who require assistance in completing the process.

### **Additional Recommendation:**

- It is recommended the Director not be the final step in grievances. Volunteers should have the option to grieve to the Board of Directors, should they not be satisfied with the Director's response.

## *Non-Discrimination Policy*

### **REQUIRED**

- ☐ Must minimally include, the federally protected classes of age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion.

## *Additional Volunteer Policies & Recommendations*

### **REQUIRED**

- ☐ Organizations who provide volunteers with a separate volunteer manual should include policies from the personnel policies including:
  - Drug-free workplace;
  - Smoke-free workplace;
  - Violence-free workplace;

- Harassment policy; and
- Mandatory reporting requirements.
- ☐ Volunteer policies must be provided to staff and volunteers.
- ☐ If an organization has different hiring, orientation, and training procedures for direct and non-direct services volunteers, the policies must reflect these different processes. For example:
  - The organization volunteers who are working on one time projects may only be required to sign a confidentiality form regarding anyone or anything they see at the organization; however, direct service volunteers may be required to receive in-person training on confidentiality.
- ☐ When creating these policies please remember that Board Members are considered volunteers and they should be included in the above policies, or in separate Board policies. Board Members should clearly understand their duties and responsibilities prior to joining a board.

**Additional Recommendation:**

- Organizations that have extensive volunteer training manuals may reference these manuals in the policy, rather than relisting the information that is included in the manual in the policy.
  - Should an organization reference a manual or a checklist list, these will be reviewed during site visits along with the policies.

Source: ARSD 67:56:01:05

## *Fiscal Management*

### *Annual Preparation of Formal Budget*

**REQUIRED**

- ☐ Annual preparation of a formal written budget of expected revenues and expenses that are reviewed and approved by the governing body annually.
- ☐ Must include when the annual budget will be created.

### *Travel Reimbursement Policy*

**REQUIRED**

- ☐ This is required only if Victims' Services funds are used to pay for such expenses; however, recommended for travel expenses paid by any source.
- ☐ Policy must include:
  - Rate that mileage, meals and lodging are paid or reimbursed;
  - Documentation that must be submitted for payment; and
  - If the documentation needs to be submitted in a specific timeframe.

- ☐ The maximum amount for reimbursement will be equal to the State rate as further detailed below.
- ☐ Transportation reimbursement for the use of privately owned vehicles shall be paid at \$0.545 per mile while on official business outside the city limits of the organization.
- ☐ Gas receipts and applicable mileage logs should be provided.
- ☐ Airline tickets can be reimbursed for commercial airline travel.
  - No upgrades of any sort will be reimbursed.
  - All original itemized receipts must be attached to the travel payment detail.
  - All original airline tickets (stubs), boarding passes, itineraries and e-stubs should be submitted as documentation.
  - Baggage fee receipts for both departure and return flights must be attached for reimbursement of those fees.
- ☐ Hotel/motel use will be reimbursed at an approved rate that is within reason, under the State's discretion.
  - If hotel/motel is requested/ submitted for reimbursement for traveling to a conference/training, it is expected that hotel/motel the training is conducted at will be utilized as there is normally a negotiated/reduced rate.
  - If the conference hotel/motel is not an option, the organization must provide an explanation as to why that option was not utilized.
- ☐ Transportation to and from the airport for Development/Training related travel is allowable within reason.
- ☐ **When requesting reimbursement, alcohol and tips are not allowable for reimbursement.**
- ☐ When submitting expenses for travel, they must be: allowable, reasonable and necessary.
  - It must also be described how this is determined.
- ☐ A traveler shall be reimbursed for meals when traveling on organizational business outside their organization's area. Meal allowances are calculated using the following schedule:

Meals	Leave/Return	In-State	Out of State
Breakfast	5:31 am/7:59 am	\$6.00	\$10.00
Lunch	11:31 am/12:59 pm	\$11.00	\$14.00
Dinner	5:31 pm/7:59 pm	\$15.00	\$21.00
Entire Day Maximum		\$32.00	\$45.00

### *Program Fiscal Year*

#### **REQUIRED**

- ☐ The organization's operating fiscal year must be defined.

### *Payment of Bills*

#### **REQUIRED**

- ☐ Must define what the organization's policy is:
  - What is the process?
  - Is a voucher used?
  - Who approves the voucher?

- What is the process for voucher approval? Is it the same approval process for writing checks?
- Is on-line bill pay allowed? If yes, what is the policy?
- Is a voucher used? If yes, is it the same approval process for writing checks?
- If the organization does not allow for bills to be paid on-line, this should be listed in the policy.
- Is auto bill pay allowed? If yes, what is the policy?
- Are vouchers used and if yes, is it the same approval process as for writing checks?
- If the organization does not allow for bill to be paid by auto bill pay, it should be listed in the policy.

### *Purchasing Policy*

#### **REQUIRED**

- ☐ How are purchases handled?
- ☐ Who authorizes unbudgeted purchases?
- ☐ Are bids required for large purchased items?
  - If yes, how many bids are required and how reviews/approves them?
- ☐ Documentation to be maintained to support all disbursements and a description of how disbursements are made.
- ☐ Disbursements are pre-approved and indication of who approves both small and large dollar purchases.
- ☐ Expenditures are to be reasonable and an explanation of how this should be accomplished (bids, quotes, etc.)
- ☐ Blank checks are to be safeguarded and a description of how this will occur.
- ☐ Segregation of duties regarding the creation of vendor accounts and making payments via Electronic Fund Transfer (EFT) methods.

### *Check Writing Policy*

#### **REQUIRED**

- ☐ Who is authorized to sign checks?
- ☐ How many signatures are required on each check?
- ☐ Is a check always supported with a voucher at the time of payment?
- ☐ Does the organization allow checks to be made to cash?
  - If yes, under what circumstances?
- ☐ Can blank checks be signed?
- ☐ Can a signature stamp be used?
- ☐ Are voided checks retained?
- ☐ Does the program require checks to be written in numerical order?

### *Money Handling Policy (Cash Management)*

#### **REQUIRED**

- ☐ What is the process for handling cash and checks?
- ☐ Are all funds to be deposited within a specific timeframe?
- ☐ Accurate tracking of all monies received and recorded to the appropriate accounts/general ledgers.
- ☐ All monies and deposits are recognized, totaled, balanced and transported to the appropriate banking facility.
- ☐ Define segregation of duties.
- ☐ Organization shall maintain records that clearly show the source and amount of the contributions being reported as match. The following should also be recorded:
  - Period of time for which such contributions were allocated;
  - Basis for determining the value of personal services, materials, equipment, and space and facilities;
  - Volunteer services shall be substantiated by the same methods used by the organization for its paid employees (generally, this should include timesheets substantiating time worked).
- ☐ Actual and budgeted expenditures are to be analyzed.
  - How often are these items reviewed?

### **RECOMMENDED**

- Significant variances between actual and budgeted expenditures are resolved to ensure total costs do not exceed the amounts budgeted for the grant period.
- Existing or planned indirect cost rates and the type of rate used as well as both the content of pooled expenses and the type of allocation base used.
- If all costs are charged direct, the method used to allocate costs benefiting multiple cost objectives to each cost objective.
  - Is there a Cost Allocation Plan in place?

## *Surplus Property*

### **REQUIRED**

- ☐ How is surplus property disposed of?
- ☐ Who is responsible for determining property is surplus?
- ☐ A Furniture and Equipment Form is required to be completed for furniture and equipment purchased with Victims' Services funds.
- ☐ Additionally, the Victims' Services Program must give prior approval for the disposal of furniture and equipment purchased with Victims' Services funds.

## *Donation Policy*

### **REQUIRED**

- ☐ Are donations accepted?
  - If yes, both cash and in-kind?
- ☐ How are donations documented?
- ☐ Does the program allow for the refusal of donations?

- If yes, how is this determined?

### *Credit & Debit Card Policy*

#### **REQUIRED**

- ☐ Describe how card use is controlled and approved. (Both credit and/or debit)
  - Who authorizes purchases?
- ☐ Can a credit/debit card only be obtained with Board of Directors' approval?
- ☐ Does the Board need to establish a card limit?
- ☐ Require all expenditures be pre-approved.
- ☐ Limit individual amounts and types of expenditures that may be incurred.
- ☐ Prohibit personal expenditures.
- ☐ Require all receipts to be submitted for review and comparison with card statements.
- ☐ If the organization does not have a credit or debit card, it should be listed in policy.

### *Bank Statement Reconciliation*

#### **REQUIRED**

- ☐ Prohibit the individual reconciling the bank statements from opening them. Does the policy define whether there is a separation of duties from the person who reconciles the statement and the person who reviews the reconciliation?
- ☐ Bank statements to be opened and reviewed by an official who is not authorized to sign checks (i.e. treasurer, president, etc.) but who is familiar with funding financial activities.
- ☐ Bank statements to be reconciled in a timely manner by someone who is not authorized to sign checks.
- ☐ Reconciliation to be approved by an official outside the payment process but familiar with funding financial activities.
- ☐ Bank reconciliation(s) to be completed within 30 days of receipt of the bank statement.

### *Accounting System Defined*

#### **REQUIRED**

- ☐ Definition of the basis of accounting (e.g., cash, accrual, modified cash, modified accrual)

### *Internal Controls*

#### **REQUIRED**

- ☐ Employee or position responsible for completing financial duties.
- ☐ Explanation of what controls are in place.

### *Petty Cash Fund*

#### **REQUIRED**



- ☐ If the organization does not allow for a petty cash fund, it is recommended to be listed in policy.
- ☐ Amount of the fund.
- ☐ Policy should describe the approval process, receipt documentation required and internal controls.
- ☐ Process for replenishment, tracking, etc.
- ☐ Restriction of use.

### *Fund Source Accounting Outlines*

#### **REQUIRED**

- ☐ Ability to report revenue and expenditures separately by funding source. Segregation of duties and cost allocations (i.e. monthly reporting, funds are not left unsecured, programmatic compliance).
- ☐ Organization chart of accounts and who has the authority to make changes.
- ☐ Receipts and detailing allowable/unallowable costs.
- ☐ Disbursements and if considered an indirect or direct expense.

### *Payroll Payment Process*

#### **REQUIRED**

- ☐ The distribution of salary and wages charged to federal/state awards be based on actual employee activity as reflected in personnel activity reports (timesheets), prepared after-the-fact, that include the total activity for which employees were compensated.
- ☐ Timesheets to be certified as accurate by both the employee and a supervisor familiar with the employee's activities. Non-profit organizations cannot charge salary and wages to federal awards based on budget estimates. However, States Local or Indian Tribal Governments may allocate salary and wages charged to federal awards based on budget estimates, other distribution percentages, or use a substitute system if certain conditions are met in *OMB Supercircular (2 C.F.R. Part 200)*.
- ☐ Timesheet approval process and who approves timesheets.
  - o Timesheets should also contain a perjury statement:  
*"I declare under penalty of perjury (under the laws of the United States of America) that the foregoing is true and correct."*
- ☐ Types of deposits for payroll (direct deposit or hard checks?)
- ☐ How is payroll handled if the payday falls on a holiday?
- ☐ Can employees receive their paychecks early or receive advances?

### *Financial Statement Approval*

#### **REQUIRED**

- ☐ Financial statements must be reviewed and approved at Board Meetings.
  - o It should be clearly documented who is present at the meeting and who approves the financial statements as reflected in the Board Meeting Minutes.

## *Audit Requirements*

### **REQUIRED**

- ☐ Audits are performed in accordance with Federal 2 C.F.R. Part 200 and SD State requirements for fiscal years with federal/state expenditures of \$750,000 or more.
  - If an audit is required, audits shall be completed and filed with the Department of Legislative Audit by the end of the nine months following the end of the fiscal year being audited.
- ☐ Federal audit reports are submitted to the Federal Audit Clearinghouse (FAC) within 30 days after receiving the report or nine months after the fiscal year end, whichever comes first. <https://harvester.census.gov/facweb/>
- ☐ Other organization audit requirements

### **Additional Audit Information:**

- Failure to complete audit(s) as required, including resolving interim audit findings, will result in the disallowance of audit costs as direct or indirect charges to programs. Additionally, a percentage of awards may be withheld, overhead costs may be disallowed, and/or awards may be suspended, until the audit is completely resolved.
- The organization shall be responsible for payment of any and all audit exceptions which are identified by the State.
- The organization may be responsible for payment of any and all questioned costs, as defined in 2 C.F.R. 200.84, at the discretion of the State.
- The books and records of the organization must be made available if needed and upon request at the organization's regular place of business for audit by personnel authorized by the State.
- The State and/or federal agency has the right to return to audit the program during performance under the grant or after close-out, and at any time during the record retention period, and to conduct recovery audits including the recovery of funds, as appropriate.

## *Matching/Cost Sharing*

### **REQUIRED**

- ☐ Verifiable from the recipient's records. Supporting documentation for in-kind, donations and interest income.
- ☐ Must be necessary and reasonable for proper and efficient accomplishment of the project or program objectives.
  - Are local government/private foundation requirements being adhered to?
- ☐ Not paid by the federal/state government under another award (except where authorized by federal/state statute to be used for cost sharing or matching).
- ☐ Allowable and provided for in the approved budget. Are terms/provisions of contract being followed?

## *Program Income*

### **REQUIRED**

- ☐ Policy should reference how program income is handled if any should be acquired.
- ☐ Program income should be utilized before federal funds are requested for reimbursement.

## *Allowability of Costs*

### **REQUIRED**

- ☐ To be allowable under a federal/state award, costs must be reasonable, allocable and adequately documented.
  - ☐ Is there a process in place to examine costs to determine if only allowable expenses are charged to state/federal funding sources?
- ☐ A cost is reasonable if it does not exceed what a prudent person would incur under similar circumstances.
- ☐ A cost is allocable to a federal/state award to the extent the goods or services benefited the organization.
- ☐ A cost is necessary to a federal/state award to the extent that is incurred to operate the business and perform the services for which the award is granted.
- ☐ A cost is adequately documented if it is supported by accounting records and source documentation such as purchase orders, vouchers, invoices, receipts, payroll allocation reports, payroll summaries, timesheets, etc.

## *Conflict of Interest Policy*

### **REQUIRED**

- ☐ Establish controls to prevent employees, consultants, members of governing bodies, and others involved in federally/state funded activities from using their positions for purposes that are, or give the appearance of being, motivated by a desire for private financial gain for themselves or others, such as those with whom they have family, business, or other ties.
- ☐ Are there policies in place that address fraud, waste and abuse?
- ☐ Address the conditions under which outside activities, relationships, or financial interests are proper or improper.
- ☐ Provide for advance notification of outside activities, relationships, or financial interests to a responsible organizational official.
- ☐ Include a process for notification and review by the responsible official of potential or actual violations of the standards.
- ☐ Specify the nature of penalties that may be imposed for violations.

## *Property Policy*

- ☐ Furniture and Equipment Form is required to be completed for furniture and equipment purchased with Victims' Services funds.

- Additionally, the Victims' Services Program must give prior approval for the disposal of furniture and equipment purchased with Victims' Services funds.
- ☐ Property records be maintained to include a description, cost, purchase date, source of funding, location and condition of each property item.
- ☐ Periodic physical inventories be taken and reconciled to the property records no less frequently than every other year.
- ☐ Property purchased with Government funds to be tagged/identified as such.
- ☐ Property to be safeguarded to prevent loss or theft and a description of how this occurs.
- ☐ Disposal of surplus property and the person responsible.

### *Board of Directors/By-Laws*

#### *Purpose of Organization*

- ☐ The purpose of the organization should be stated.
- ☐ Per SDCL 25-10-28, the primary purpose shall include the provision of services to victims of domestic violence and/or sexual assault.

### *Board of Directors Members*

- ☐ Provide for a Board of Directors who, as a group, represents the demographic characteristics of the residents of that area.
- ☐ This statement or a statement with the same meaning must be included in the by-laws.

#### *Additional Recommendation:*

- The organization is responsible for determining the demographic characteristics of the service area, and should take this into consideration when recruiting and appointing Board Members.

### *Board Membership Term*

- ☐ The number of Directors present on the Board must be stated in the by-laws.
- ☐ The length of a term must be stated.
  - Example: Members are elected to a three year term.
- ☐ Any limits to the amount of terms a Member may serve must also be stated if applicable.

### *Board Membership Qualifications*

#### *Recommendations:*

- The organization is responsible for determining what the qualifications of membership on the Board will be. Examples could include:
  - Live or work in the organization's catchment area;
  - Represent certain professions;
  - Represent a mix of the demographic characteristics of the residents of the service area;
  - Have an interest/expertise in the organization's mission;

- Must be 18 years of age or older;
- Must be able to commit “X” amount of time to the organization, etc.

### *Board Membership Requirements*

- ☐ The members of the governing board must serve without pay.
- ☐ No financial benefit may accrue as a result of membership on the board.
  - The above items must specifically be stated within the organization’s by-laws.
- ☐ Identify the parliamentary procedure or consensus process to be followed in the conduct of business meetings. The most common parliamentary procedures used are:
  - Roberts Rules of Order
  - Consensus Decision Method
- ☐ Identify what constitutes a Quorum and the requirements.
- ☐ Define what will be the regularly scheduled meetings or how often meetings will be held.
- ☐ If the organization allows for Board Members to vote by teleconference or by mail, the program must ensure the voting process is compliant with SDCL 47-23-21.
- ☐ The Victims’ Services Programs reviews the organization’s Board Meeting Minutes to ensure they reflect the financial statements were reviewed and approved by the Board of Directors.

#### *Additional Recommendations:*

- Conflict of Interest statements are suggested to be included.
- Indemnification.
- It is recommended the board meeting minutes also reflect:
  - Who was present;
  - Who was absent;
  - Presiding officer;
  - Date, time and place of meeting;
  - All main motions and votes, including the approval of the previous meeting minutes;
  - Names of those making the motions;
  - Time of adjournment and signature of secretary.
- Minutes should reflect when the board engages in Executive Session.

Source: ARSD 67:56:01:07

### *Additional Resources Available*

#### *Grant Management Resources*

Additional resources are available from the Victims’ Services Program. Below is a list of some of some items if you need further training:

- ☐ MAVIS User Manual

- ☐ Victims' Services Reporting Calendar
- ☐ Prorate Example Document
  - Provides examples as to how the organization must prorate expenses among all income sources.
  - The Victims' Services has an Excel document that has formulas set up so a program can easily prorate expenses.
- ☐ Most recent Grant Announcement. The most recent Grant Announcement includes the most current information regarding:
  - Grant priorities;
  - Victims' Services grant allowable and non-allowable expenses;
  - Information on calculating match;
  - Definitions on terms including prorate, direct service time, non-direct service time;
  - Community Education Activities/Staff time;
  - Match; and
  - Furniture and Equipment
- ☐ Current Agreement with the organization and Department of Public Safety, as well as the current Certified Assurances.
  - Includes additional information about conditions an organization has agreed to abide to as a result of receiving funds from the Victims' Services Program.

### *Miscellaneous*

There are other laws and regulations that organizations must follow. Organizations are expected to comply with applicable State and Federal laws, including State and Federal Employment Laws, South Dakota Nonprofit Corporation laws, as well as other state, county, city, tribal and federal laws as they pertain to your program. Some items that may be useful in ensuring compliance with rules, statues and laws include:

- ☐ *The Department of Labor and Regulation website at <http://dlr.sd.gov>. New hire reporting information, as well as State and Federal posting requirements can be found at this website. Free downloadable copies of each requirement can be obtained at <http://dlr.sd.gov/employerserv/postingrequirements.aspx>.*

- ☐ *Nonprofit Corporation statutes can be found at:*

<http://legis.state.sd.us/statutes/DisplayStatute.aspx?Statute=47-22&Type=Statute>  
<http://legis.state.sd.us/statutes/DisplayStatute.aspx?Type=Statute&Statute=47-23>  
<http://legis.state.sd.us/statutes/DisplayStatute.aspx?Type=Statute&Statute=47-24>  
<http://legis.state.sd.us/statutes/DisplayStatute.aspx?Type=Statute&Statute=47-25>  
<http://legis.state.sd.us/statutes/DisplayStatute.aspx?Type=Statute&Statute=47-28>

### *SDCL 25-10*

- Note: This appendix only includes a small section of SDCL 25-10. If you want a copy of SDCL 25-10 in its entirety, a copy can be found at <http://legis.state.sd.us/statutes/DisplayStatute.aspx?Statute=25-10&Type=Statute>

25-10-28. Domestic violence or sexual assault shelters and service programs—Required services. Any shelter or service programs established pursuant to this chapter shall have as its primary purpose the provision of services to victims of domestic violence or sexual assault, or both, and shall include:

- (1) Crisis telephone and referral services available twenty-four hours per day, seven days per week;
- (2) Shelter available twenty-four hours per day, seven days per week;
- (3) Prevention and education programs periodically available to the local community;
- (4) Victim advocacy; and
- (5) Confidentiality of identity, location, records, and information pertaining to any person to whom services are or were provided.

**Source:** SL 1989, ch 223, § 4; SL 1990, ch 189, § 4; SL 1991, ch 214, § 4; SL 2011, ch 132, § 3.

## *ARSD 67:56*

### *Domestic Violence & Sexual Assault Programs*

#### **Chapter**

67:56:01	General provisions.
67:56:02	Qualifications of applicants, Repealed.
67:56:03	Service program grant applications and disbursements, Repealed.
67:56:04	Training program grant applications and disbursements, Repealed.
67:56:05	Evaluation of programs and services, Repealed.

### *Chapter 67:56:01* *General Provisions*

#### **Section**

67:56:01:01	Definitions.
67:56:01:02	Service programs.
67:56:01:03	Requirements for shelter services.
67:56:01:04	Repealed.
67:56:01:05	Program policy requirements.
67:56:01:06	Client services policy requirements.
67:56:01:07	Program bylaws.

**67:56:01:01. Definitions.** Terms used in this chapter mean:

“Advocate,” any trained employee or volunteer working for a shelter or service program to support an individual seeking or receiving services; and

“Confidential information,” any written, oral, or electronic communication between a person seeking or receiving services and an advocate; any records or written, oral, or electronic information identifying an individual seeking or receiving services; and any information relating to services provided to an individual including the location of services.

**Source:** 16 SDR 129, effective February 6, 1990; 19 SDR 168, effective May 9, 1993; transferred from § 1:10:01:01 by SL 1994, ch 212, § 2, effective July 1, 1994; 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30. **Law Implemented:** SDCL 25-10-28.

**67:56:01:02. Service programs.** Service programs shall provide a variety of services to victims of domestic violence and sexual assault. The services shall include the requirements as stated in SDCL 25-10-28 and in addition may include the following services:

- (1) Crisis counseling;
- (2) Follow up contact;
- (3) Therapy;
- (4) Group counseling;
- (5) Information referral;
- (6) Criminal justice support;
- (7) Emergency financial assistance;
- (8) Emergency legal advocacy;
- (9) Personal advocacy;
- (10) Medical advocacy;
- (11) Assistance with filing compensation claims; and
- (12) Transportation services.

**Source:** 16 SDR 129, effective February 6, 1990; 19 SDR 168, effective May 9, 1993; transferred from § 1:10:01:02 by SL 1994, ch 212, § 2, effective July 1, 1994; 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30. **Law Implemented:** SDCL 25-10-28.

**67:56:01:03. Requirements for shelter services.** Shelter services may be provided in a structure owned or operated by the program; in public accommodations paid for by the program, such as hotels and motels; or in private homes supervised by the program. A program using a hotel or motel facility or a private home as a shelter must have an agreement with the facility that provides for the safety and confidentiality of clients. Additionally, a program using a private home as a shelter must ensure: No individual living in the household has had a conviction for a crime that would indicate harmful behavior towards children, a crime of violence as defined by SDCL 22-1-2, a sex crime pursuant to SDCL chapters 22-22 or 22-24A or SDCL 22-22A-3, or within the preceding five years, a conviction for any other felony; and The program has submitted proof of liability insurance covering the home.

Each program shall establish a policy defining eligibility standards and shall provide services to eligible individuals in all available settings within the program’s service area. A program may not impose income standards or mandate participation in a program service as a condition of eligibility.



**Source:** 16 SDR 129, effective February 6, 1990; 19 SDR 168, effective May 9, 1993; transferred from § 1:10:01:03 by SL 1994, ch 212, § 2, effective July 1, 1994; 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30. **Law Implemented:** SDCL 25-10-28.

**67:56:01:05. Program policy requirements.** Each program shall establish and follow a written policy relating to:

Personnel including:

- (a) Staff and volunteer hiring, and orientation;
- (b) Training on client orientation procedures, client services, safety, and confidentiality; and
- (c) Documenting orientation, training, and continued education for each staff member and volunteer;

Confidential information that includes;

- (a) Any limits on an individual's right to confidentiality;
  - (b) Release of client information;
  - (c) Provisions addressing access, security, and destruction of confidential records;
  - (d) Grievance procedures to address any violations of the policy;
  - (e) Provisions ensuring notification to clients when an outside service provider or visitor will be present; and
  - (f) A requirement that information regarding each client's right to confidentiality and the need to protect that confidentiality is provided to each client, program staff, volunteer, outside service provider, and visitor;
- Client rights that provides:

- (a) Each individual is informed of client rights and responsibilities and is provided a copy in an accessible format during the intake process;
  - (b) Each individual has the right to receive services in a manner which is client-centered and nondiscriminatory;
  - (c) Each individual has the right to refuse services; and
  - (d) The rights and responsibilities statement is posted in an accessible place;
- Community education that includes;

- (a) Methods to promote understanding, collaboration, and assistance from other agencies and community organizations; and
  - (b) Methods by which service availability will be publicized in the service area to both the general public and underserved populations on a regular basis;
- Criminal record checks for prospective employees; and

Fiscal management that includes annual preparation of a formal written budget of expected revenues and expenses that shall be reviewed and approved by the governing body annually. These policies shall be reviewed and approved by the program's governing body.

**Source:** 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30. **Law Implemented:** SDCL 25-10-28.

**67:56:01:06. Client services policy requirements.** Each program shall establish and follow a written policy in the following areas relating to client services:

- (1) Intake and referral procedures;
- (2) Eligibility;

- (3) Orientation;
- (4) Safety and security standards and procedures;
- (5) Grievance procedures;
- (6) Records retention;
- (7) Smoke-free, drug-free, and violence-free environment;
- (8) Conflicts of interest;
- (9) Nondiscrimination;
- (10) Transportation services;
- (11) Medical care;
- (12) Care of children when parent is absent; and
- (13) Shelter house rules.

**Source:** 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30.

**Law Implemented:** SDCL 25-10-28.

**67:56:01:07. Program bylaws.** Each program shall adopt bylaws which state its purpose and must:

- (1) Provide for a board of directors who, as a group, represent the demographic characteristics of the residents of that area;
- (1) Provide the number and terms of members on the board;
- (2) Describe the qualifications for membership on the board;
- (3) Provide that members of the governing board serve without pay;
- (4) Provide that no financial benefit accrue as a result of membership on the board; and
- (5) Identify the parliamentary procedure or consensus process to be followed in the conduct of business meetings.

**Source:** 38 SDR 105, effective December 12, 2011. **General Authority:** SDCL 25-10-30.

**Law Implemented:** SDCL 25-10-28.

### *Information to be Tracked*

#### *Items to be Included on Organization's In-Take*

**The below items must be included on Program's Intake for each client.**

- ☐ If you do not do a separate Intake for children who are served with their parents;
- ☐ You must ensure the parent's Intake includes all of the below information for each child the program is serving, as well as for the parent.

There are times when collecting all of the below information is not possible, such as during a crisis phone call or at the time a client is in crisis when soliciting the information may be inappropriate or offensive to the client. However, if you continue to work with the client you should be able to gather most, if not all of below information on a client being served by the program.

This grant period will have a more extensive list of information to be tracked for client information and demographics. Victims' Services previous systems did not have the capability to track this previously as required for receiving federal funding. Some the information may be delicate to ask for and may be helpful to have an ice-breaker lead into what is being asked. A good example could be:

Our organization is committed to assisting all individuals regardless of age, disability and/or handicap, sex gender identity (or expression), sexual orientation, pregnancy, race, color, national origin and religion. Our organization will ask questions about how you identify. We ask these questions of all individuals we serve so that we can understand the needs of the community and help identify the best services available. This information will be shared with our funders; however, your name or any other personally identifying information will not be shared. All of your answers will be protected and confidential. You are not required to answer questions and will not affect your ability to receive services.

The basic information that should be requested is as listed below. The required information that organizations should also be reporting/ recording is listed in the table below as if it is a VOCA or FVPSA requirement or an additional recommendation.

- ☐ First and Last Name or an Assigned Agency Number that the agency can use to identify the client's first and last name.
- ☐ Client MAVIS or Identification Number
- ☐ In-take Date
- ☐ Signature of Advocate who assisted with the Intake.
- ☐ Date of Birth or a place to track the client's age
- ☐

## Reporting

### Reporting Guidelines

One of the biggest tools when assessing the services and efficiencies is outcome data. The importance of having consistent and clean data is crucial to identifying areas of need. How this can be achieved is by uniform reporting and management of files/cases. The following section is meant to provide guidance on how this can be achieved.

Assistance with compensation means the number of clients/individuals your organization has assisted with completing a compensation application. Count the number of people who have received any level of assistance with completing the victim compensation application during the reporting period, even if the application was not submitted. Simply providing the person with an application does NOT qualify as assistance. Each organization that receives VOCA funding must meet the following requirement:

*“Help victims apply for compensation benefits. Such assistance may include identifying and notifying crime victims of the availability of compensation, assisting them with the*

*application forms and procedures, obtaining necessary documentation, and/or checking on claim status.”*

When counting the total number of individuals who received services during the reporting period, you should count all individuals served by your organization during that period. This number should be an UNDUPLICATED count of people served during the single reporting period, regardless of the number of services they received or the victimization types they presented.

When counting new individuals, they should only be counted the first time they receive services during that reporting period. So for the first reporting period of the grant cycle, ALL individuals should be counted as new. For the first reporting period of each fiscal year (October – December), all people who received services should be counted as NEW to establish a baseline for the year.

Certain types of victimizations can be categorized in many ways. One example is the proper categorization of attempted murder. The proper categorization for attempted murder and other violent assaults should be reported as “Adult Physical Assault,” which includes both simple and aggravated assaults. Aggravated assault includes assaults accompanied by the use of a weapon or by means likely to produce death or great bodily harm.”

The list of victimization types to choose from does not include “teen sexual assault,” but it does include “teen dating victimization.” Teen victimizations not associated with dating qualify as child victimizations, as the definition of “child” includes all minors. Victimization that occurs within a teen dating relationship should be reported as “teen dating victimization.”

*Reference: OVC PMT – Victim Assistance FAQs Updated May 2017*

VOCA & FVPSA Required Tracking/Reporting			
Individual Reporting	VOCA-Required	FVPSA-Required	Additional Recommendation?
# of individuals who received services during reporting period	X		
Total number of anonymous contacts received during reporting period	X		
NEW individuals who received services for the FIRST TIME during reporting period	X		
Self-Reported Race and/or Ethnicity Category	VOCA-Required	FVPSA-Required	Additional Recommendation?
American Indian or Alaska Native			
Asian			
Black or African American			
Hispanic or Latino			
Native Hawaiian or Other Pacific Islander			
White Non-Latino or Caucasian			
Some Other Race			

Multiple Races			
Not Reported			
Not Tracked			
<b>Self-Reported Gender Identity</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Male	X		
Female	X		
Non-binary/third gender			X
Transgender			X
Prefer not to say			X
Other	X		
<b>Self-Reported Age at the Time of Victimization</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Age 0-6			X
Age 7-12			X
Age 0-12	X	X	
Unknown Child Age		X	
Age 18-24	X	X	
Age 25-59	X	X	
Age 60 and older	X	X	
Unknown Adult Age		X	
Not Reported	X	X	
Not Tracked	X		
<b>Victimization Types</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Adult Physical Assault (includes Aggravated and Simple Assault)	X	X	
Adult Sexual Assault	X	<b>NOT ALLOWED</b>	
Adults Sexually Abused/Assaulted as Children	X	<b>NOT ALLOWED</b>	
Arson	X	X	
Bullying (Verbal, Cyber or Physical)	X	X	
Burglary	X	X	
Child Physical Abuse or Neglect	X	X	
Child Pornography	X	<b>NOT ALLOWED</b>	
Child Sexual Abuse/Assault	X	<b>NOT ALLOWED</b>	
Domestic and/or Family Violence	X	X	
DUI/DWI Incidents	X	X	
Elder Abuse or Neglect	X	X	
Hate Crime: Racial/Religious/Gender/Sexual Orientation/Other	X	X	
Human Trafficking: Labor	X	X	
Human Trafficking: Sex	X	<b>NOT ALLOWED</b>	
Identity Theft/Fraud/Financial Crime	X	X	
Kidnapping (non-custodial)	X	X	

Kidnapping (custodial)	X	X	
Mass Violence (Domestic/International)	X	X	
Other Vehicular Victimization (e.g., Hit and Run)	X	X	
Robbery	X	X	
Stalking/Harassment	X	X	
Survivors of Homicide Victims	X	X	
Teen Dating Victimization	X	X	
Terrorism (Domestic/International)	X	X	
Other	X	X	
Of individuals who received services, it should be documented how many presented with more than one type of victimization during that reporting period	X		
<b>Clients Served with Non-Shelter Services</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Children/Youth		X	
Adults: (# of women, # of men # of non-specific)		X	
<b>Self-Reported Special Classifications of Individuals</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Deaf/Hard of Hearing	X		
Homeless	X		
Immigrants/Refugees/Asylum Seekers	X		
LGBTQ	X	X	
Veterans	X		
Victims with Disabilities: Cognitive/Physical/Mental	X		
Victims with Limited English Proficiency	X	X	
Other	X	X	
<b>DIRECT SERVICES</b>			
<b>Information &amp; Referral</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Information about the criminal justice process	X		
Information about victim rights, how to obtain notifications, etc.	X		
Referral to other victim service programs	X		
Referral to other services, supports and resources (includes legal, medical, faith-based organizations, address confidentiality programs, etc.)	X		
<b>Personal Advocacy/Accompaniment</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Victim advocacy/accompaniment to emergency medical care	X	X	
Victim advocacy/accompaniment to medical forensic exam	X		
Law enforcement interview advocacy/accompaniment	X		
Individual advocacy (e.g., assistance in applying for public benefits, return of personal property or effects)	X		
Performance of medical or nonmedical forensic exam or interview or medical evidence collection	X		
Immigration assistance (e.g., special visas, continued presence application, and other immigration relief)	X		

Intervention with employer, creditor, landlord, or academic institution	X		
Child or dependent care assistance (includes coordination of services)	X		
Transportation assistance (includes coordination of services)	X	X	
Interpreter services	X		
Number of children/youth receiving victim advocacy services		X	
Number of adults receiving victim advocacy services		X	
<b>Emotional Support of Safety Services</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Crisis intervention (in-person, includes safety planning, etc.)	X	X	
Hotline/crisis line counseling	X	X	
Number of children/youth receiving crisis intervention		X	
On-scene crisis response (e.g., community crisis response)	X		
Individual counseling	X	X	
Support groups (facilitated or peer)	X	X	
Number of children/youth receiving individual or group counseling/support group		X	
Other therapy (traditional, cultural, or alternative healing; art, writing, or play therapy, etc.)	X		
Emergency financial assistance <i>(Includes emergency loans and petty cash, payment for items such as food and/or clothing, changing windows and/or locks, taxis, prophylactic and non-prophylactic meds, durable medical equipment, etc.)</i>	X		
<b>Shelter/Housing Services</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Emergency shelter or safe house	X	X	
Shelter Nights	X	X	
Unmet Requests for Shelter	X	X	
Transitional housing	X		
Relocation assistance <i>(Includes assistance with obtaining housing)</i>	X		
<b>Criminal/Civil Justice System Assistance</b>	<b>VOCA-Required</b>	<b>FVPSA-Required</b>	<b>Additional Recommendation?</b>
Notification of criminal justice events (e.g., case status, arrest, court proceedings, case disposition, release, etc.)	X		
Victim impact statement assistance	X		
Assistance with restitution	X		
Civil legal assistance in obtaining protection or restraining order	X		
Civil legal assistance with family law issues (e.g., custody, visitation, or support)	X		
Other emergency justice-related assistance	X		
Immigration assistance (e.g., special visas, continued presence application and other immigration relief)	X		
Adults receiving criminal/civil legal advocacy		X	

Community Education	VOCA-Required	FVPSA-Required	Additional Recommendation?
Adults/general population number or presentations		X	
Adults/general population number of participants		X	
Youth targeted number of presentations		X	
Youth targeted number of participants		X	
Miscellaneous Items	VOCA-Required	FVPSA-Required	Additional Recommendation?
Number of requests for services that were unmet because of organizational capacity issues.	X		
Does your organization formally survey clients for feedback on services received?	X	X	
Number of surveys distributed <i>(Includes but not limited to, those distributed by hand, mail or electronic methods)</i>	X	X	
Number of surveys completed	X	X	
Types of survey completed: <ul style="list-style-type: none"> <li>• Shelter survey</li> <li>• Support services and advocacy survey</li> <li>• Counseling survey</li> <li>• Support group survey</li> </ul>		X	
Narrative Questions	VOCA-Required	FVPSA-Required	Additional Recommendation?
For services supported in whole or in part by your FVPSA grant, share a story about a client (without sharing any personally identifying information), service or community initiative that could be shared with other stakeholders.		X	
What does this grant allow you to do that you wouldn't be able to do without this funding?	X	X	
Describe any efforts supported in whole or in part by this grant to meet the needs of underserved populations in your community, including populations underserved because of ethnic racial, cultural or language diversity, sexual orientation or gender identity or geographic isolation. Describe any ongoing challenges.	X	X	
Describe significant prevention and outreach activities, supported in whole or in part by your FVPSA grant, during the program year.		X	
Provide information on the evaluation of the effectiveness of your domestic violence programming.		X	
Provide any additional information you would like us to know about your program (i.e., unmet needs of victims in your community, other funding sources used for programming or service trends that are emerging in your community)	X	X	
Please explain why requests for services were unmet because of organizational capacity issues if applicable.	X		
Please discuss some of the challenges your victim assistance program faced during the course of the federal fiscal year.	X	X	
Please describe some of the services that victims needed	X		



by could not be provided. What were the challenges that prevented those services from being provided?			
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### *FVPSA Outcome DATA*

[Domestic violence programs should be collecting outcome information from their clients served. A manual and instructions from the Documenting Our Work Project are available online at the Outcomes webpage from the National Resource Center on Domestic Violence at <http://nrcdv.org/FVPSAOutcomes>. There are two mandated questions that must be asked of clients.

Because of the services I received, I feel:

- I know more about community resources (yes or no).
- I know more ways to plan for my safety (yes or no).

Outcome information may be collected for each service – shelter, support services and advocacy, counseling and support group. However, at a minimum, FVPSA requests outcome information on shelter services from programs that provide shelter services.

For each service, count the number of surveys completed and the number of yes responses to each question. It is expected that the number of surveys completed would be the same for each, but there may be instances when it differs, e.g., a client doesn't answer one of the questions.

- I know more about community resources (Resource Outcome).
- I know more ways to plan for my safety (Safety Outcome).]

Survey Type	Know more about community resources			Know more ways to plan for safety		
	Number of Surveys Completed	Number of Yes Responses to Resource Outcome	Percent Responses [auto-calc]	Number of Surveys Completed	Number of Yes Responses to Safety Outcome	Percent Responses [auto-calc]
Shelter survey						
Support services and advocacy survey						
Counseling survey						
Support group survey						
TOTAL						

### *VOCA Reporting Assistance*

Correctly reporting statistics and numbers is one of the most important aspects of grant management. The reporting trends is what is analyzed to see what demographics may be missed with services or if there is an increase in certain violent crimes that victims are seeking

services for. The following are helpful hints and tips to ensure that proper reporting is taking place during the grant cycle.

### *Population Demographics*

**Number of individuals who received services during the reporting period.**

Count all individuals served by your organization with the use of VOCA plus match funds during the reporting period. This number should be an unduplicated count of people served during a single reporting period, regardless of the number of services they received or victimization types with which they presented. Do NOT count anonymous contacts here. They should be reported in the following question.

**Total number of anonymous contacts received during the reporting period.**

Count all anonymous contacts received by your organization through a hotline, online chat, or other service where the individuality of each contact cannot be established.

**Of the number of individuals entered, how many were NEW individuals who received services from your agency FOR THE FIRST TIME during the period?**

This number should be an unduplicated count of identified NEW clients served during a single reporting period, regardless of the number of services they received or the victimization types with which they presented. *For the first reporting period of your subaward, all individuals should be counted as new.*

**Individuals who self-report in more than one race and/or ethnicity category should be counted in the “Multiple Races” category. This data is used for statistical purposes to comply with Federal regulations.**

American Indian or Alaska Native

Asian

Black or African American

Hispanic or Latino

Native Hawaiian or Other Pacific Islander

White Non-Latino or Caucasian

Some Other Race

Multiple Races

Not Reported

Not Tracked

*\*\*Of individuals who received services, it should be documented how many presented with more than one type of victimization during that reporting period\*\**

### *Direct Services*

Count the number of individuals who received assistance with completing a victim compensation application during the reporting period, even if they did not submit the application. Simply providing an individual with an application does **NOT** qualify as assistance.

Because some clients may receive multiple services, the total number of times that services were provided within a category may be greater than the number of clients who received those services.

Sample Policies

Hotel/Motel Agreement

This Agreement sets forth the terms and conditions between the **(Motel/Hotel Name)** and the **(Agency Name)**, as defined below:

A client of the **(Agency Name)** is temporarily staying in your motel. It is of utmost importance that the name and location of the client be kept confidential, as well as the association of the client with **(Agency Name)**. In an attempt to maintain the safety and confidentiality of the client, as well as their identity, **(Motel Name)** agrees:

- The client's real name will not be used. All room reservations, billing and correspondences etc. will be put under the **(Agency Name)** only.
- An agreed upon password between the hotel management and **(Agency Name)** administrative staff will be used when reserving a room.
- All reasonable attempts will be made to keep information regarding this guest, their family and their situation confidential. Information about the client should only be shared with hotel personnel on an "as needed basis".
- I understand this agreement is between myself, as the authorized representative of this hotel, and the staff of the **(Motel/Hotel name)**
- I agree **(Agency Name)** is not responsible for damages or actions if any, caused by this individual or their minor children. Any damages will be the responsibility of the guest.
- Agreed upon room rate of \_\_\_\_\_ will be paid by **(Agency Name)**.
- The client's length of stay will be determined by the **(Agency Name)**.

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Hotel/Motel Representative signature, title **(should be a manager or owner)** and date:

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Agency Representative signature, title and date:

## *Client's Rights and Responsibilities*

As a client of **(Program Name)** you have certain rights and responsibilities. Your rights as a client of **(Program Name)** include but are not limited to:

- You have the right to be treated with respect and treated as an adult.
  - You have the right to be treated without discrimination (could add on the basis of your age, disability, gender, race, color, national origin, religion, or sexual orientation) by everyone who works and lives here.
  - You have the right to access resources regardless of income, education, marital status or sexual preference.
  - You have the right to have your presence at **(Program Name)** kept confidential.
  - You have the right to only share as much information as you feel comfortable sharing. Information you share will be kept confidential. (or you have the right to choose what information you wish to share, whom you wish to share it with and how it will be used.)
  - You have the right to request and expect assistance from an Advocate.
  - You have the right to be heard.
- 
- You have a right to know the purpose of the shelter guidelines.
  - You have the right to use or refuse any services or resources. You have the right to be informed of all services available to you.
  - You have the right to review your file during agency business hours.
  - You have the right to receive services that are specific to your individual needs.
  - You have the right to file a grievance without discrimination or reprisal. The agency's grievance policy is available from any advocate.
  - You have the right to make your own decisions and set your own goals for you and your children.
  - You have the right to safety and to live without the threat of violence.
  - You have the right to privacy.
  - You have the right to a healthy, sober and drug free environment.
  - You have the right to return to your abuser without giving up any other rights.
  - You have a right to receive services in a language that you understand.

### **Your responsibilities as a client include:**

- To let an Advocate know what you and your children's needs are.
- To let an Advocate know if you or your children's needs are not being met.
- To keep confidential the name and information of any other clients you meet or see while at **(Program Name)**.

### **Clients residing in shelter have the additional responsibilities:**

- To follow shelter rules.
- To respect the shelter facility.
- To respect other resident's privacy.
- To stay sober and drug free while at \_\_\_\_\_.

## *Limited English Proficiency (LEP) Policy*

No client will be denied services based on LEP. (Program Name) will take every reasonable measure to ensure access to all services provided by (Program Name) for LEP clients. An LEP client will be identified upon intake based on interactions with staff members. LEP includes not only verbal, but written English proficiency. If a client speaks English but does not read English and written materials are not available in the language they read proficiently in, then all written materials will be read to the client. If the client does not speak English proficiently then the language of choice will be identified through the use of “I speak” cards (or your agency can identify other options as well – “I speak” cards are just one idea). Once the language is identified (Agency Name) will take the following steps to assist the client: (keep in mind these steps may be different for different locations)

- Contact a staff member who speaks the language
- Contact a translator
- Use the translator service (name the service)

The client will not be required to pay for any translator assistance in order to receive services.

Another client or a family member of the client will not be used as a translator for sensitive materials.

All staff will be trained in how to access the appropriate translator services in our area.  
(Provide an explanation of how your agency will train staff.)

If our service area has a language spoken by 5% or more of the members of the community served then signs in those languages will be placed in the main office areas informing clients about the steps (Agency Name) will take to assist them. We will also make an effort to include in outreach materials that language services are available.

As our community grows and evolves (Program Name) will continue to reevaluate the services available to LEP clients and ways to expand or improve those services.

### Emergency Relocation Assistance Policy

This policy is intended to assist shelter residents as they move out of shelter and/or current service participants who have recently moved out of shelter into securing permanent housing. Applicants are eligible to receive assistance if they are currently receiving services from **(Program Name)**. Those services have to have been for assistance from domestic violence, sexual assault, stalking or dating violence. The assistance is to be paid directly to the vendor, landlord or the property management firm.

This policy will cover housing/relocation assistance for needs such as security deposits, first or last month's rent and/or utility deposits. All applicants are required to contact **(Program Name)** advocate or staff member to determine eligibility for assistance. **(Program Name)** will make every effort to preserve confidentiality but all applicants who wish to apply for assistance, will need to sign a release of information to able to process the request.

Persons will be able to access this assistance only after all other services and resources have been exhausted and the following form has been completed. These requests must be approved by at least one Board Member authorized to sign checks and the Director. All requests for assistance are dependent on the funds available at the time of request. The maximum amount available per applicant is \$500 for the year.

Name \_\_\_\_\_ Contact Number \_\_\_\_\_

Address \_\_\_\_\_

I am a current resident of **(Program Name)** ☐ Yes ☐ No

☐ I am fleeing a violent situation and that is why I am requesting these services.

☐ I am in need of this assistance and without it, I would become homeless.

The assistance I need is:

☐ Rental Deposit \$ \_\_\_\_\_ ☐ Heating Fuel \$ \_\_\_\_\_

☐ Electricity Deposit \$ \_\_\_\_\_ ☐ Utility Deposit \$ \_\_\_\_\_

☐ Telephone Deposit \$ \_\_\_\_\_ ☐ Moving Expenses \$ \_\_\_\_\_

☐ Storage Unit for up to 30 days \$ \_\_\_\_\_ **TOTAL REQUESTED \$ \_\_\_\_\_**

I understand that by applying for the assistance listed above; **(Program Name)** will need to share my information necessary to provide assistance. I have completed a Release of Information Form

pertaining to this. I also have contacted all other resources that may be available and all other options have been exhausted. The following page will have the information for documentation as record of receiving this assistance.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

☐ Approved ☐ Denied

☐ Approved ☐ Denied

\_\_\_\_\_  
Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Board Member

\_\_\_\_\_  
Date

Amount Paid \$ \_\_\_\_\_

Payee/Vendor \_\_\_\_\_

Mailing Address \_\_\_\_\_

Description/Service \_\_\_\_\_ **\*\*Attach Corresponding Documentation\*\***

Amount Paid \$ \_\_\_\_\_

Payee/Vendor \_\_\_\_\_

Mailing Address \_\_\_\_\_

Description/Service \_\_\_\_\_ **\*\*Attach Corresponding Documentation\*\***

Amount Paid \$ \_\_\_\_\_

Payee/Vendor \_\_\_\_\_

Mailing Address \_\_\_\_\_

Description/Service \_\_\_\_\_ **\*\*Attach Corresponding Documentation\*\***

## *Fiscal Policy*

### **Operating Procedures**

- The organization's operating fiscal year shall be January 1<sup>st</sup> through December 31<sup>st</sup>.
- The Executive Director shall develop the annual budget for the following fiscal year and present to the Board of Directors at the last Board meeting of the calendar year. The annual preparation shall be a formal written budget of expected revenues and expenses that are reviewed and approved by the governing body annually.
- Quarterly financial statements will be provided to the organization's Board of Directors at least one week in advance with to the corresponding monthly Board meeting. Year-end financial statements are to be provided to the Board of Directors at least one week prior to the meeting that will establish the following year's budget.
- Financial statements will be reviewed and approved by the Board of Directors during meetings and will be noted in the minutes. It will be noted who has approved the financial statements by roll call vote.

### **Bill Pay**

- All expenses should be prepared with a corresponding invoice and/or supporting documentation for the expense.
- The voucher should be approved by the Executive Director prior the writing of the check.
- Payment of bills online is allowed and should be supported in the same way as hard copy checks with voucher approval and supporting documentation.
- Auto-bill pay should only be allowed if other payment options are determined to be less efficient as determined by the Executive Director.

### **Check Writing**

- All checks will require two signatures by authorized individuals up to \$2,500.00 and
  - Amounts over \$2,500.00 must be approved by the Board prior to payment.
- The Executive Director has expenditure approval up the parameters set by the annual operating budget approved by the Board of Directors.
- Each year during the meeting of the Board of Directors when the annual budget for the following year is being developed, the Board will designate at least two additional individuals that will have the authority to be the second signer for check writing.
- The use of signature stamps is strictly prohibited and all signatures must be wet ink signed.
- The Executive Director will ensure that all necessary documentation is prepared and submitted with the supporting voucher when sent for the second signer's signature.
- Request for reimbursement for purchases made by the Executive Director which were made at his/her personal expense must be approved and signed off by a Board member who has check signing authority.



- The Executive Director is prohibited from signing any check made payable to him/her.
- Under absolutely no circumstances will a blank check be made to cash.
- The organization requires that checks be written in numerical order.
- Checks that have been voided will be maintained and logged as such. The voided checks will be kept in the locked file cabinet in the office.

#### Accounting System

- The financial records of the organization are to be maintained using a cash basis of accounting.
- The Executive Director will act as the primary fiscal contact and financial manager unless otherwise designated by the Board of Directors.
- Each funding source is entered into the accounting system utilized (QuickBooks) with each funding source's budget amount entered with allowable costs from the organization attached to each grand budget item.
- The accounting system will also track the organization's chart of accounts and only the Executive Director with Board's approval has the authority to make changes.

#### Segregation of Duties/ Internal Controls

- Financial duties and responsibilities must be separated so that no one individual has sole control over cash receipts, disbursements, payroll, reconciliation of bank accounts and statements, etc. as follows:
  - The check signers must not be the individual whom the check is designated to.
  - Bank statements should be reconciled by someone other than the check signer.
  - Deposit documentation and reconciliations are prepared by a person and signed off by another individual who does not have check writing authority.
  - Deposits must be completed at least weekly to the bank designated by the Board of Directors where the organization has an account. If revenues exceed \$1,000 a deposit will be made sooner.
- Bank statements will be reconciled within 30 days of receipt of the bank statement.

#### Petty Cash Fund

- The organization does not utilize a petty cash fund.

#### Credit/ Debit Card

- The organization will only issue credit cards for business related purchases after that individual and circumstances regarding the card use have been approved by the Board of Directors.
- The maximum monthly amount is \$500 unless otherwise approved by the Board of Directors.
- All expenditures must be pre-approved by the Executive Director and if the amount is above \$500, the expenditures must be pre-approved by a member of the Board.

- Personal expenditures are strictly prohibited.
- All receipts are to be submitted for review with appropriate supporting documentation regarding the expense.
- The organization does not have debit cards.

#### Money Handling (Cash Management)

- All monies and deposits will be recognized, totaled, balanced and transported to the appropriate banking facility.
- Organization shall maintain records that clearly show the source and amount of contributions being reported as match. The following should also be reported:
  - Period of time for which such contributions were allocated;
  - Basis for determining the value of person services, materials, equipment, and space and facilities;
  - Volunteer services shall be substantiated by the same methods used by the organization for its paid employees (generally, this should include timesheets substantiating time worked).
- Actual and budgeted expenditures are to be analyzed. This shall be reviewed during the monthly reconciliation. If the actual expenditures are found to be 10% higher than the budgeted, the Board of Directors shall be informed and will address. It is up to the discretion of the Board for what the following course of action may be to ensure total costs do not exceed the amounts budgeted for the entire grant period.
- If program income shall be acquired, the income will be utilized prior to requesting reimbursement of funding.

#### Purchasing Policy

- Incoming invoices will be logged and inventoried against the vendor invoice by the designated staff person and delivered to the staff person who initiated the purchase for his/her review of the inventory against the purchase order. Any discrepancies must be resolved prior to submitting any payment request.
- All invoices and receipts must be signed by the purchasing/ordering staff person with a brief description of the purchase purpose and program purchased for.
- If there is an unbudgeted for purchase, depending on the amount, the Board of Directors may need to give approval.
- For purchases higher than \$5,000; at least three bids are required. The bids will be reviewed by the Executive Director and proposed to the Board at the next meeting for approval.

#### Donation Policy

- Donations of both cash and in-kind are accepted.

- When donations are received, there are to be documented in the Donation Log immediately after the donation is received. The Executive Director will review the log weekly and enter donations into the organization's accounting system.
- It is crucial that reasonable dollar amounts are determined and associated with donations.
- If there is a large inventory of donations or donations are in poor shape or sanitary condition, refusal of donation(s) is allowable. If a donation is refused, staff will send a card to the donator apologizing for refusal of donation but thanking for the support of the organization.

#### Audit Requirements

- Audits are performed in accordance with Federal 2 C.F.R. Part 200 and SD State requirements for fiscal years with federal/state expenditures of \$750,000 or more.
  - If an audit is required, audits shall be completed and filed with the Department of Legislative Audit by the end of the nine months following the end of the fiscal year being audited.
- Federal audit reports are to be submitted to the Federal Audit Clearinghouse (FAC) within 30 days after receiving the report or nine months after the fiscal year end, whichever comes first. <https://harvester.consus.gov/facweb>
- The organization shall be responsible for payment of any and all audit exceptions which are identified by the State.
- The organization may be responsible for payment of any and all questioned costs, as defined in 2 C.F.R. 200.84, at the discretion of the State.
- The books and records of the organization must be made available if needed and upon request at the organization's regular place of business for audit by personnel authorized by the State.
- The State and/or federal agency has the right to return to audit the program during performance under the grant or after close-out, and at any time during the record retention period, and to conduct recovery audits including the recovery of funds, as appropriate.

#### Matching/ Cost Sharing

- Verifiable from the recipient's records. Supporting documentation for in-kind, donations and interest income.
- Must be necessary and reasonable for proper and efficient accomplishment of the project or program objectives.
  - Are local government/private foundation requirements being adhered to?
- Not paid by the federal/state government under another award (except where authorized by federal/state statute to be used for cost sharing or matching).
- Allowable and provided for in the approved budget. Are terms/provisions of contract being followed?

#### Allowability of Costs

- To be allowable under a federal/state award, costs must be reasonable, allocable and adequately documented.
  - Is there a process in place to examine costs to determine if only allowable expenses are charged to state/federal funding sources?
- A cost is **reasonable** if it does not exceed what a prudent person would incur under similar circumstances.
- A cost is **allocable** to a federal/state award to the extent the goods or services benefited the organization.
- A cost is **necessary** to a federal/state award to the extent that is incurred to operate the business and perform the services for which the award is granted.
- A cost is **adequately documented** if it is supported by accounting records and source documentation such as purchase orders, vouchers, invoices, receipts, payroll allocation reports, payroll summaries, timesheets, etc.

#### Property Policy

- Furniture and Equipment Form is required to be completed for furniture and equipment purchased with Victims' Services funds.
  - Additionally, the Victims' Services Program must give prior approval for the disposal of furniture and equipment purchased with Victims' Services funds.
- Property records be maintained to include a description, cost, purchase date, source of funding, location and condition of each property item.
- Periodic physical inventories be taken and reconciled to the property records no less frequently than every other year.
- Property purchased with Government funds to be tagged/identified as such.
- Property to be safeguarded to prevent loss or theft. This will be protected by a yearly inventory conducted by the Executive Director and referenced against the prior year's inventory. If loss or theft is suspected, the Board of Directors shall be notified **IMMEDIATELY**.

#### Surplus Property

- Staff shall consult with the Executive Director and decide the best method for disposal of surplus or obsolete property.
- The disposal method and information will be documented by the Executive Director.
- If the item or equipment was purchased with funds from Victims' Services, the Victims' Services Program must give prior approval for the disposal of furniture and equipment that was purchased with said funds

#### Travel Reimbursement

- Work related travel must have prior approval. For work related travel the following applies:
  - Transportation for the use of vehicles while on official business shall be paid at a rate of \$0.545 per mile. Gas receipts and applicable mileage logs are required to be submitted for mileage reimbursement.
  - Airline tickets can be reimbursed for commercial air travel.

- ❖ No upgrades of any sort will be reimbursed;
- ❖ All original itemized receipts must be attached to the travel payment detailed voucher/request;
- ❖ All original airline tickets (stubs), boarding passes, itineraries and e-stubs should be submitted as documentation;
- ❖ Baggage fee receipts for both departure and return flights must be attached for reimbursement of those fees.
- Hotel/motel use will be reimbursed at an approved rate that is within reason.
  - ❖ If hotel/motel is requested/ submitted for reimbursement for traveling to a conference/training, it is expected that hotel/motel the training is conducted at will be utilized as there is normally a negotiated/reduced rate.
  - ❖ If the conference hotel/motel is not an option, the organization must provide an explanation as to why that option was not utilized.
- Transportation to and from the airport for training and work related travel is allowable within reason.
- When requesting meal reimbursement, alcohol and tips are not allowable for reimbursement.
- A traveler shall be reimbursed for meals when traveling on organizational business outside of the organization's service area. Meal allowances are calculated using the following schedule:

Meals	Leave/Return	In-State	Out of State
Breakfast	5:31 am/7:59 am	\$6.00	\$10.00
Lunch	11:31 am/12:59 pm	\$11.00	\$14.00
Dinner	5:31 pm/7:59 pm	\$15.00	\$21.00
Entire Day Maximum		\$32.00	\$45.00

#### Payroll Payment Process

- The distribution of salary and wages charged to federal/state awards be based on actual employee activity as reflected in personnel activity reports (timesheets), prepared after-the-fact, that include the total activity for which employees were compensated.
- Timesheets to be certified as accurate by both the employee and a supervisor familiar with the employee's activities.
- Timesheet's are to be signed and submitted to supervisor for review and approval on the last day of the pay period.
- The organization utilizes primarily direct deposit unless otherwise requested by the employee.
- If a pay day falls on a holiday, the pay day will be the last business day prior to the holiday.
- Under no circumstances may an employee receive their paycheck early or an advance without prior Board of Director approval.

## *Conflict of Interest Policy*

The purpose of this Conflict of Interest Policy is to require accountability of those involved and/or representing the organization. It is also to protect the organization's interest in decisions that may benefit the private interest of one of its individuals.

**Interest** means any commitment, investment, relationship, obligation, or involvement whether financial or otherwise, direct or indirect, that may influence a person's judgment, including receipt of compensation or financial gain from the organization.

A **conflict of interest** is present when an individual is in a position to gain personal benefit from actions or decisions made in their capacity as an individual of the organization.

### GENERAL

#### **A. CONFLICTS OF INTEREST**

- 1) No individual shall use, or attempt to use their position with the organization for private economic gain or that of any special business interests which they are associated with.
- 2) Individuals of the organization must avoid any action whether or not specifically stated, which could result in or create the appearance of:
  - a) Using the organization's authority for private gain;
  - b) Giving preferential treatment to any special interest, organization, or person;
  - c) Impeding on efficiency or financial interests of the organization;
  - d) Making organizational decisions outside of official channels; and/or
  - e) Adversely affecting the confidence of the organization and its integrity.

#### **B. USE OF CONFIDENTIAL INFORMATION FOR PRIVATE GAIN**

No individual shall use or disclose confidential information gained in the course of their relationship with the program for furthering their own economic and personal interest or that of anyone else.

### PROCEDURES

#### **1. *Duty to Disclose***

Each individual associated with the organization shall disclose to the Board of Directors all material facts and information regarding his or her possible conflict of interest promptly upon learning of the possible conflict.

#### **2. *Determining Whether a Conflict of Interest Exists***

Once a possible conflict of interest has been disclosed to the Board of Directors, it is up to the discretion to the Board of Directors to determine if a conflict does exist. It shall be

voted upon by the Board if a conflict of interest exists and propose action for addressing the conflict.

### **3. Procedures for Addressing the Conflict of Interest**

After due diligence has been exercised in reviewing the potential conflict, the governing board shall determine whether the organization can obtain with reasonable effort a more preferable arrangement from a person or entity that would not produce a conflict of interest.

If an alternative arrangement is not possible, the governing board by a majority vote will determine a more preferable arrangement is not possible and determine if the organization will enter the proposed arrangement.

### **4. Disciplinary Action**

If the organization has reason to believe an individual has failed to disclose actual or potential conflicts of interest, it will inform the individual and allow him/her the ability to explain the alleged conflict and reason for non-disclosure. If the organization still has reason to believe a conflict of interest exists after the alleged conflict is explained, corrective/disciplinary action may entail.

Equipment/Furniture Request Form



Attachment 10

**EQUIPMENT/FURNITURE PURCHASES  
PAID BY VICTIMS' SERVICES**

Agency Name: \_\_\_\_\_

Agency Address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Description of Property: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Identifying Number: \_\_\_\_\_

Identification or Title Holder: \_\_\_\_\_

\_\_\_\_\_

Acquisition Date: \_\_\_\_\_ Equipment Costs: \_\_\_\_\_

Cost and Percent of Victims' Services Grant Funds Supporting the Purchase:

	<b>Total Cost</b>	<b>Percent to Grant</b>	<b>Grant Cost</b>
VOCA	\$ _____	% _____	\$ _____
FVPSA	\$ _____	% _____	\$ _____
STOP	\$ _____	% _____	\$ _____
DASA	\$ _____	% _____	\$ _____

Location, Use and Condition of the Property: \_\_\_\_\_

**When furniture/equipment is purchased with Victims' Services grant funds, this form must be completed and submitted to Victims' Services along with your agency's monthly financial drawdown.**

**SOUTH DAKOTA VICTIMS' SERVICES**  
**Department of Public Safety**  
118 West Capitol Avenue  
Pierre, SD 57501-2291  
Phone: 605.773.5884 or  
800.696.9476 (in-state only)  
FAX: 605.773.4085



### *Match Donation Value Guide*

Most of South Dakota Victims' Services grant programs require agencies that receive funding to "match" that funding with additional dollars or in-kind resources. Matches must be a contribution of non-federal dollars, in-kind services, or a combination of both. Additional information about match requirements can be found in the DOJ Grants Financial Guide ([https://ojp.gov/financialguide/doj/pdfs/DOJ\\_FinancialGuide.pdf](https://ojp.gov/financialguide/doj/pdfs/DOJ_FinancialGuide.pdf)).

Programs may not use federal funds from other programs to meet match requirements. However, State or local funds, or funds contributed by the private sector, may be used as match.

**The exception to this is that DASA funds cannot be used as match.**

- Cash, goods, services, or in-kind time used to match one federal grant may not be used to meet match requirements for another federal grant.
- In-kind match consists of donations to support services and activities that are not cash, such as furniture or equipment that can be quantified in dollars. It can also be the value of time contributed by volunteer professionals, technical personnel, and other skilled and unskilled labor, if the services they provide are an integral and necessary part of grant-funded services and activities. The value placed on donated services must be consistent with the rate of compensation for similar work paid for by the program. South Dakota Victims' Services has set a match rate of \$24.69 per hour for individuals who \$24.69 per hour also should be used for volunteers who provide unskilled labor.

All funds designated as match are restricted to the same use as the federal grant funds they are matching. For example, a program may match a South Dakota Victims' Services grant with funds that are used to provide direct services to victims, but not with funds that are used for administration of programs, lobbying, etc. **Volunteer time spent on administrative duties, as well as time donated for fundraising cannot be used as match.**

Programs must maintain records that clearly show the source, amount, and period during which the match was allocated. South Dakota Victims' Services requires monthly reporting and drawdowns for grant-funded activities, so match should be calculated and reported monthly. The basis for determining the value of personal services, material, equipment, and space and facilities must be documented. Volunteer services must be documented and supported using the same methods the agency uses to track and report time of its paid employees.

Examples of allowable match contributions include, but are not limited to:

- Cash – the value of direct expenses for grant-funded services and activities.
- Volunteer Professional and/or Personal Services – services must be necessary to the grant-funded activities and the value of volunteer time must utilize a rate of no more than \$24.69 per hour.
- Donated Materials/Equipment – the value claimed for donated items may not exceed their fair market value. ***A Donation Value Guide has been included for reference of calculating donated materials.***
- Space and Facilities – the value claimed for space and facilities may not exceed the fair market rental value of a comparable space and facilities in the same locality; if claiming

match for space and facilities, the space and facilities cannot be owned by the agency receiving the South Dakota Victims' Services grant funds. South Dakota Victims' Services 39 SFY 2018-19 Combined Grant Application Instructions.

- Discounts (applies only to Counseling Agencies) – the discounts or reductions in the cost of provider services must be valued as the difference between the rate the agency paid and what the provider's nominal or fair market rate is for his/her service.

It is crucial to ensure proper documentation is maintained in regards to match contributions. When documenting donations that are received for in-kind match, the program must provide Victims' Services with an itemized donation list verifying how the amount being reported was determined. If the program does not have a document or form it is currently using, please contact Victims' Services and one can be provided. An example of what is being requested to be provided for documentation is below.

Victim's Services Donation Log					
Date	Individual Donating	Quantity	Item	Size	Approximate Value of Donation
00/00/0000	John Doe	1	Blanket		\$ 10.00
00/00/0000	John Doe	5	Towel		\$ 15.00
00/00/0000	Jane Doe	1	Bed	Full	\$ 125.00
		7			\$ 150.00

If a brand new item is donated, the program should maintain the receipt, tag or other verification of original purchase price. Another acceptable form of documentation would be photographing the item with the tag on it with the price easily visible.

## **Federal Definitions**

### **Demographic Types**

**American Indian or Alaska Native** refers to a person having origins in any of the original peoples of North and South America (including Central America) and who maintains tribal affiliation or community attachment. This category includes people who indicated their race(s) as “American Indian or Alaska Native” or reported their enrolled or principal tribe, such as Navajo, Blackfeet, Inupiat, Yup’ik, or Central American Indian groups or South American Indian groups.

**Asian** refers to a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. It includes people who indicated their race(s) as “Asian” or reported entries such as “Asian Indian,” “Chinese,” “Filipino,” “Korean,” “Japanese,” “Vietnamese,” and “Other Asian” or provided other detailed Asian responses.

**Black or African American** refers to a person having origins in any of the Black racial groups of Africa. It includes people who indicated their race(s) as “Black, African American, or Negro” or reported entries such as African American, Kenyan, Nigerian, or Haitian.

**Hispanic or Latino** refers to an individual who self-reports in one of the specific Spanish, Hispanic, or Latino categories listed on the Census 2010 questionnaire: “Mexican,” “Puerto Rican,” or “Cuban.” This also refers to those who indicate that they are “another Hispanic, Latino, or Spanish origin.” People who do not identify with one of the specific origins listed on the questionnaire but indicate that they are “another Hispanic, Latino, or Spanish origin” are those whose origins are from Spain, the Spanish-speaking countries of Central or South America, or the Dominican Republic. The terms “Hispanic,” “Latino,” and “Spanish” are used interchangeably.

**Multiple Races** refers to a person who may self-identify in more than one race or ethnicity category.

**Native Hawaiian or Other Pacific Islander** refers to a person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands. It includes people who indicated their race(s) as “Pacific Islander” or reported entries such as “Native Hawaiian,” “Guamanian or Chamorro,” “Samoan,” and “Other Pacific Islander” or provided other detailed Pacific Islander responses.

**White** refers to a person having origins in any of the original peoples of Europe, the Middle East, or North Africa. It includes people who indicated their race(s) as “White” or reported entries such as Irish, German, Italian, Lebanese, Arab, Moroccan, or Caucasian.

**Some Other Race** includes all other responses not included in the White, Black or African American, American Indian or Alaska Native, Asian, and Native Hawaiian or Other Pacific Islander race categories described above.

The descriptions below are based on Federal legislation (unless otherwise noted), which provides guidance to states by identifying a minimum set of acts or behaviors to define the crime. Office for Victims of Crime (OVC) understands that state statutes may vary.

**Child:** A person under the age of 18 or as otherwise defined by state law.

**Federal Fiscal Year:** October 1 through September 30.

**Services:**

Respond to the emotional and physical needs of crime victims;  
Assist primary and secondary victims of crime to stabilize their lives after a victimization;  
Assist victims to understand and participate in the criminal justice system; and  
Provide victims of crime with a measure of safety and security such as boarding up broken windows and replacing or repairing locks.

**Crime Victim or Victim of Crime:** A person who has suffered physical, sexual, financial, or emotional harm as the result of the commission of a crime.

**Teen:** OVC describes a teen as a youth, ages 13-17. Use this definition to capture youth ages 13-17 who present for services for a primary and/or additional victimization where applicable: for example, teen dating violence.

**Victim Services Program:** All services and activities offered on behalf of victims of crime, including the VOCA grant and match

## Victimization Types

**Adults Sexual Abused/Assaulted as Children:** Adult survivors of sexual abuse and/or assault suffered while they were children.

**Adult Physical Assault:**

- **Aggravated Assault:** An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm.
- **Simple Assault:** Assaults and attempted assaults where no weapon was used or no serious or aggravated injury resulted to the victim. Intimidation, coercion, and hazing are included.

**Adult Sexual Assault:** Includes a wide range of victimizations; crimes that include attacks or attempted attacks generally involving unwanted sexual contact between victim and offender. Sexual assaults may or may not involve force and include such things as grabbing, fondling, and verbal threats. Also included is OFFICE FOR VICTIMS OF CRIME VICTIM ASSISTANCE FORMULA GRANT PROGRAM PERFORMANCE MEASURES SUBGRANTEE DATA REPORT Revised January 2017 Page 13 of 15 This questionnaire is to be used only for data collection purposes. Data must be entered in the OVC PMT at <https://ovcpmt.ojp.gov>. rape, which is defined as penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration of a sex organ by another person, without the consent of the victim; may also include penetration of the mouth by a sex organ by another person.

**Arson:** Any willful or malicious burning or attempting to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, and so on.

**Bullying (cyber, physical or verbal):** Repeated, negative acts committed by one or more children against another. These negative acts may be physical or verbal in nature—for example, hitting or kicking, teasing or taunting—or they may involve indirect actions such as manipulating friendships or purposely excluding other children from activities. Implicit in this definition is an imbalance in real or perceived power between the bully and victim. Examples of cyberbullying include mean text messages or e-mails; rumors sent by e-mail or posted on social networking sites; and embarrassing pictures, videos, Web sites, or fake profiles.

**Burglary:** The unlawful entry of a structure to commit a felony or theft. The FBI’s Uniform Crime Reporting (UCR) program includes three subclassifications: forcible entry, unlawful entry where no force is used, and attempted forcible entry. The UCR definition of “structure” includes apartment, barn, house trailer or houseboat when used as a permanent dwelling, office, railroad car (but not automobile), stable, and vessel (i.e., ship).

**Child Physical Abuse and Neglect:** This may include physical abuse that is non-accidental physical injury (ranging from minor bruises to severe fractures or death) as a result of punching, beating, kicking, biting, shaking, throwing, stabbing, choking, hitting (with a hand, stick, strap, or other object), burning, or otherwise harming a child, that is inflicted by a parent, caregiver, or other person. Such injury is considered abuse regardless of whether the caregiver intended to hurt the child. Physical discipline, such as spanking or paddling, is not considered abuse as long as it is reasonable and causes no bodily injury to the child.

**Child Sexual Abuse and Assault:** This may include activities such as fondling a child’s genitals, penetration, incest, rape, sodomy, indecent exposure, and exploitation through prostitution by a parent, caregiver, or other person. Includes teen sexual assault.

**Child Pornography:** Any visual depiction, including any photograph, film, video, picture, drawing, or computer or computer-generated image or picture, which is produced by electronic, mechanical, or other means, of sexually explicit conduct, where: (1) its production involved the use of a minor engaging in sexually explicit conduct; (2) such visual depiction is, or appears to be, of a minor engaging in sexually explicit conduct; (3) such visual depiction has been created, adapted, or modified to appear that an identifiable minor is engaging in sexually explicit conduct; or (4) it is advertised, distributed, promoted, or presented in such a manner as to convey the impression that it is a visual depiction of a minor engaging in sexually explicit conduct.

**Domestic and/or Family Violence:** A crime in which there is a past or present familial, household, or other intimate relationship between the victim and the offender, including spouses, ex-spouses, boyfriends and girlfriends, ex-boyfriends and ex-girlfriends, and any family members or persons residing in the same household as the victim. Involves a pattern of abusive behavior in any relationship that is used by one partner to gain or maintain power and control over another intimate partner. Domestic violence can be physical, sexual, emotional, economic, or

psychological actions or threats of actions that influence another person. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

**DUI/DWI Incidents:** Driving or operating a motor vehicle or common carrier while mentally or physically impaired as the result of consuming an alcoholic beverage or using a drug or narcotic.

**Elder Abuse/Neglect:** Also known as elder mistreatment, generally refers to any knowing, intentional, or negligent act by a family member, caregiver, or other person in a trust relationship that causes harm or creates a serious risk of harm to an older person. Elder abuse may include abuse that is physical, emotional/psychological (including threats), or sexual; neglect (including abandonment); and financial exploitation. This is a general definition; state definitions of elder abuse vary. Some definitions may also include fraud, scams, or financial crimes targeted at older people.

**Hate Crime (Racial/Religious/Gender/Sexual Orientation/Other):** A criminal offense against a person or property motivated in whole or in part by an offender's bias against a race, religion, disability, ethnic origin, or sexual orientation.

**Human Trafficking (Sex/Labor):** Inducing a person by force, fraud, or coercion to participate in commercial sex acts, or the person induced to perform such act(s) has not attained 18 years of age. It also covers obtaining a person through recruitment, harboring, transportation, or provision, and subjecting such a person by force, fraud, or coercion into involuntary servitude, peonage, debt bondage, or slavery (not to include commercial sex acts).

**Identity Theft/Fraud/Financial Crimes:** Identity theft occurs when someone wrongfully obtains another's personal information without their knowledge to commit theft or fraud. Fraud and financial crimes include illegal acts characterized by deceit, concealment, or violation of trust and that are not dependent upon the application or threat of physical force or violence. Individuals and organizations commit these acts to obtain money, property, or services; to avoid the payment or loss of money or services; or to secure personal or business advantage.

**Kidnapping (non-custodial):** Occurs when someone unlawfully seizes, confines, inveigles, decoys, abducts, or carries away and holds for ransom or reward, by any person, except in the case of a minor by the parent thereof.

**Kidnapping (custodial):** Occurs when one parent or guardian deprives another of his or her legal right to custody or visitation of a minor by unlawfully taking the child. The definition and penalties of custodial kidnapping vary by state. In some states, kidnapping occurs only if a child is taken outside of the state and/or if an existing custody order is intentionally violated. In all cases, international custodial kidnapping is a federal offense.

**Mass Violence (Domestic/International):** An intentional violent criminal act that results in physical, emotional, or psychological injury to a sufficiently large number of people to significantly increase the burden of victim assistance and compensation for the responding jurisdiction.

**Other Vehicular Victimization:** May include hit-and-run crimes, carjacking, and other vehicular assault.

**Robbery:** Taking or attempting to take anything of value from the care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.

**Stalking/Harassment:** Individuals are classified as victims of stalking or harassment if they experienced at least one of the behaviors listed below on at least two separate occasions. In addition, the individuals must have feared for their safety or that of a family member as a result of the course of conduct, or have experienced additional threatening behaviors that would cause a reasonable person to feel fear. Stalking behaviors include making unwanted phone calls; sending unsolicited or unwanted letters or e-mails; following or spying on the victim; showing up at places without a legitimate reason; waiting at places for the victim; leaving unwanted items, presents, or flowers; and posting information or spreading rumors about the victim on the Internet/social media, in a public place, or by word of mouth.

**Survivors of Homicide Victims:** Survivors of victims of murder and voluntary manslaughter, which are the willful (intent is present) killing of one human being by another.

**Teen Dating Victimization:** Teen dating violence is defined as the physical, sexual, psychological, or emotional violence within a teen dating relationship, including stalking. It can occur in person or electronically and might occur between a current or former dating partner.

**Terrorism (Domestic):** The term terrorism means an activity that . . . (1) involves a violent act or an act dangerous to human life that is a violation of the criminal laws of the United States or of any State, or that would be a criminal violation if committed within the jurisdiction of the United States or any State; and (2) appears to be intended . . . (a) to intimidate or coerce a civilian population, (b) to influence the policy of a government by intimidation or coercion or (c) to affect the conduct of a government by assassination or kidnapping (18 U.S.C. 3077).

**Terrorism (International):** The Antiterrorism and Emergency Reserve Fund Guidelines for Terrorism and Mass Violence Crimes refers to the term terrorism, when occurring outside of the United States, as international terrorism to mean an activity that . . . (1) involves a violent act or an act dangerous to human life that is a violation of the criminal laws of the United States or any State or that would be a criminal violation if committed within the jurisdiction of the United States or of any State; (2) appears to be intended . . . (a) to intimidate or coerce a civilian population; (b) to influence the policy of a government by intimidation or coercion; or (c) to affect the conduct of a government by assassination or kidnapping; and (3) occur primarily outside the territorial jurisdiction of the United States, or transcend national boundaries in terms of the means by which they are accomplished, the persons they appear intended to intimidate or coerce, or the locale in which their perpetrators operate or seek asylum (18 U.S.C. 2331).

**Violation of a Court Order:** This is defined by state or jurisdiction.

## Quick Funding Guide

### Allowable and Non-Allowable Expenses

Quick Funding Guide - Allowable and Non-Allowable Expenses					
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
PERSONNEL/FRINGE BENEFITS	VOCA	FVPSA	STOP	SASP	DASA
<b>Volunteer trainings</b> <i>**Activities in support of training volunteers on how to provide direct services when such services will be provided primarily by volunteers</i>	X	X	X	NO	X
<b>Salaries of prosecutors, law enforcement officers or judges</b> <i>**If paid to be handling cases involving violence against women. If they are not working full time on violence against women cases, their time must be prorated</i>	NO	NO	x	NO	NO
Salaries, benefits and expenses for individuals assisting with <u>Domestic Violence</u>	X	X	X	NO	X
Salaries, benefits and expenses for individuals assisting with <u>Sexual Assault</u>	X	NO	X	X	X
<b>Benefits prorated at the same rate as payroll</b> <i>**Payroll taxes, health insurance, retirement, workman's compensation, unemployment insurance</i>	X	X	X	X	X
<b>Coordination of activities that facilitate the provision of direct services</b> <i>**Include but not limited to: crisis response teams, multi-disciplinary teams, coalitions to support and assist victims and other such programs, and salaries and expenses of such coordinators</i>	X	X	X	X	X
<b>Payment of salaries &amp; expenses of supervisory staff in a project</b> <i>**When Victims' Services has determined that such staff are necessary and effectively facilitate the provision of direct services</i>	X	X	X	X	X
Payment of salaries & expenses of direct service staff serving on child and adult abuse multi-disciplinary investigation and treatment teams, coordination with federal agencies to provide services to victims of federal crimes and/or participation on Statewide or other task forces, work groups, and committees to develop protocols, interagency and other working agreements	X	X	X	X	X
<b>Contract for professional services not available within organization at a rate not to exceed reasonable market rate</b> <i>**e.g., psychological/psychiatric consultation, legal services, interpreters</i>	X	X	X	X	X
Prorated share of liability insurance	X	X	X	X	X
Completing grant-required time and attendance sheets and programmatic documentation, reports and statistics	X	X	X	X	X
Collecting and maintaining crime victims' records	X	X	X	X	X



Quick Funding Guide - Allowable and Non-Allowable Expenses					
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
PERSONNEL/FRINGE BENEFITS	VOCA	FVPSA	STOP	SASP	DASA
Conducting victim satisfaction surveys and needs assessments to improve victim services delivery in the project	X	X	X	X	X
Funding the prorated share of audit costs	X	X	X	X	X
<i>Lobbying or advocacy activities with respect to legislation or to administrative changes to regulations or administrative policy, whether conducted directly or indirectly</i>	NO	NO	NO	NO	NO
<i>Research and studies, except for project evaluation under §94.121(j)</i>	NO	NO	NO	NO	NO
<b>Active investigation and prosecution of criminal activities</b> <i>**The active investigation and prosecution of criminal activities, except for the provision of victim assistance services (e.g., emotional support, advocacy, and legal services) to crime victims during such investigation and prosecution</i>	NO	NO	X	NO	NO
<i>Any activities related to fundraising</i>	NO	NO	NO	NO	NO
<b>Salaries and expenses of management</b> <i>**Salaries, benefits, fees, furniture, equipment and other expenses of executive directors, board members, and other administrators (except as specifically allowed elsewhere)</i>	NO	NO	NO	NO	X
<b>Provide victim assistance services to victims who are incarcerated</b> <i>**In certain circumstances</i>	X	NO	NO	NO	NO
Crisis intervention services	X	X	X	X	X
Accompanying victims to hospitals for medical examinations	X	X	X	X	X
Hotline counseling	X	NO SA	X	NO DV	X
Safety planning	X	X	X	X	X
Working with a victim to assess the impact of the crime	X	X	X	X	X
Identification of victim's needs	X	X	X	X	X
Case management	X	X	X	X	X
Management of practical problems created by the victimization	X	X	X	X	X
Identification of resources available to the victim	X	X	X	X	X
Provision of information, referrals, advocacy, and follow-up contact for continued services as needed	X	X	X	X	X
<b>Peer support</b> <i>**Activities that provide opportunities for victims to meet other victims, share experiences, and provide self-help, information and emotional support</i>	X	X	X	X	X
<b>Sexual Assault Nurse/Forensic Examiner (SANE) Programs</b>	X	NO		NO	
Advocacy on behalf of victim in legal proceedings	X	X	X	X	X
Interpreting for a non-witness victim who is deaf or hard of hearing or with LEP	X	X	X	X	X

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
PERSONNEL/FRINGE BENEFITS	VOCA	FVPSA	STOP	SASP	DASA
Interpreting for a non-witness victim who is deaf or hard of hearing or with LEP	X	X	X	X	X
Providing child care and respite care to enable a victim who is a caregiver to attend activities related to hearings/proceedings	X	X	X	X	X
<b>Notification to victims regarding key proceeding dates</b> <i>**Trial dates, case disposition, incarceration, and parole hearings</i>	X	X	X	X	X
Assistance with Victim Impact Statements	X	X	X	X	X
Assistance in recovering property that was retained as evidence	X	X	X	X	X
<b>Sexual Assault Response Teams</b> <i>**SASP will allow if advocate position is funded by SASP and the advocate's time for attending meetings may be covered as part of advocacy they provide</i>	X	NO		NO	
Assistance with restitution advocacy on behalf of crime victims	X	X	X	X	X
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
RENT & OPERATING EXPENSES <i>**Must be prorated when an item is not used exclusively for victim-related activities</i>	VOCA	FVPSA	STOP	SASP	DASA
Organizational expenses that are necessary and essential to provided direct services and other allowable victim services**	X	X	X	X	X
Cost of rent**	X	X	X	X	X
Cost of utilities**	X	X	X	X	X
Shelter supplies**	X	X	X	X	X
Office supplies**	X	X	X	X	X
Required minor building adaptations to meet the DOJ standards implementing ADA modifications**	X	NO	NO	NO	NO
Operating supplies**	X	X	X	X	X
Equipment use fees**	X	X	X	X	X
Bookkeeping expenses**	X	X	X	X	X
Minor repairs and maintenance of facilities for operation**	X	NO	NO	NO	X
Advertising of services**	X	Not SA	X	Not DV	X
Insurance (Dishonesty/Fidelity bond; Directors and Officers)**	X	X	X	X	X
Automobile insurance**	X	NO	NO	NO	NO
Professional liability insurance**	X	X	X	X	X
Liability Insurance**	X	X	X	X	X
Property Insurance**	X	X	X	X	X
Printing, photocopying and postage**	X	X	X	X	X
Courier service (PO Box renewal)**	X	X	X	X	X

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
<b>RENT &amp; OPERATING EXPENSES</b> <i>**Must be prorated when an item is not used exclusively for victim-related activities</i>	VOCA	FVPSA	STOP	SASP	DASA
Brochures that describe available services**	X	X	X	X	X
Books and other victim-related materials**	X	X	X	X	X
Computer backup files/tapes and storage**	X	X	X	X	X
Funding the prorated share of audit costs**	X	X	X	X	X
Security systems**	X	X	X	X	X
Design and maintenance of websites and social media**	X	X	X	X	X
<b>Indirect organization costs</b> <i>**Liability insurance on buildings, association membership fees (SDNAFVSA), costs that are not readily assignable to a particular project</i>	X	X	X	X	X
Essential communication services such as web chats and mobile device services**	X	X	X	X	X
<b>Capital Expenses</b> <i>**Capital improvements; property losses and expenses; real estate purchases; mortgage payments; and construction</i>	NO	NO	NO	NO	NO
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
<b>EMERGENCY SERVICES</b>	VOCA	FVPSA	STOP	SASP	DASA
Emergency food, shelter, clothing and transportation	X	X	X	X	X
<b>Window, door or lock replacement or repair</b> <i>**And other repairs necessary to ensure a victim's safety</i>	X	X	X	X	X
<b>Gift cards, gas cards or grocery cards</b> <i>**Programs must have a policy in place and adequate fiscal controls regarding the use of gift cards, including tracking and safeguarding of cards to ensure all items purchased with those cards are allowable under federal regulations</i>	X		NO		X
Short-term counseling (up to one year)	X	X	X	X	X
<b>Relocation Expenses</b> <i>**Subject to any restrictions on amount, length of time and eligible crimes as set by State. Generally, those who have a particular need for such housing and who cannot safely return to their previous housing due to the circumstances of their victimization</i>	X	X	Yes, for reasonable transportation costs to enhance woman's safety. Not for moving household goods.	X	X
Child care	X	X			
Pay to move household goods to a new location or acquiring housing at a new location	X		NO		

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
EMERGENCY SERVICES	VOCA	FVPSA	STOP	SASP	DASA
<b>Mortgage expenses</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>
Other costs incidental to the relocation to such housing	X		NO		
Rental assistance for victims** <b>**\$500 maximum/client per year</b>	X		NO		
Rental expenses for victims** <b>**\$500 maximum/client per year</b>	X		NO		
Rent for victims** <b>**\$500 maximum/client per year</b> **Programs pay first month's rent rather than a security deposit to alleviate the need to recover and account for the deposit	X	NO	X	NO	NO
Travel expenses for victims	X	X	NO	X	X
Utilities for victims** <b>**\$500 maximum/client per year</b>	X	NO	NO	NO	NO
Utility startup costs for victims** <b>**\$500 maximum/client per year</b>	X	NO	NO	NO	NO
<b>Compensation for victims of crime</b> <b>**Reimbursement of crime victims for expenses incurred as a result of a crime</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>
Support services to children ages 0-10	X	X	NO	X	X
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
MEDICAL SERVICES/EXPENSES	VOCA	FVPSA	STOP	SASP	DASA
<b>Capacity evaluations</b> <b>**particularly relevant for older victims of crime</b>	X	NO	NO	NO	NO
<b>Emergency medical equipment</b> <b>**Such as wheel-chairs, crutches, hearing aids, eyeglasses</b>	X	NO	NO	NO	NO
<b>HIV/preventative medicines</b> <b>**Allowable on an emergency basis when the CVC program, victim's health insurance plan, Medicaid or another healthcare funding source is not reasonable expected to be available quickly enough to meet the emergency needs of the victim (typically within 48 hours of the crime) for non-prescription medicine, prophylactics or other treatment to prevent HIV/AIDS infection or other infectious diseases</b>	X	NO	NO	NO	NO
<b>Outpatient therapy/counseling</b> <b>**Individual and/or group counseling, peer support groups</b>	X	X	X	X	NO
<b>Substance abuse-treatment as long as the treatment is directly related to the victimization</b> <b>**provided by a person who meets the professional standards to provide these services in the jurisdiction in which care is administered</b>	X	NO	NO	NO	NO

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
MEDICAL SERVICES/EXPENSES	VOCA	FVPSA	STOP	SASP	DASA
Medical supplies for forensic interviews <i>**table paper, otoscope covers, urine cups, gloves, etc.</i>	X	NO	NO	NO	NO
<i>Medical care except where otherwise allowed by provisions listed above</i>	NO	NO	NO	NO	NO
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
LEGAL SERVICES <i>**Reasonably necessary as a direct result of the victimization**</i>	VOCA	FVPSA	STOP	SASP	DASA
Assistance in divorce	X	NO	X	NO	NO
Campus administrative protect/stay-away orders	X	NO	X	NO	NO
Child custody and support proceedings	X	NO	X	NO	NO
Civil crimes are reasonably necessary as a direct result of victimization	X	NO	X	NO	NO
<i>Criminal defense</i>	NO	NO	NO	NO	NO
Family, custody, contract, housing and dependency matters <i>(particularly for victims of intimate partner violence, child abuse, sexual assault, elder abuse, and human trafficking)</i>	X	NO	X	NO	NO
Immigration assistance for victims of human trafficking, sexual assault and domestic violence	X	NO	NO	NO	NO
Intervention with administrative agencies, schools/colleges, tribal entities, and other circumstances where legal advice or intervention would assist in addressing the consequences of a person's victimization	X	NO	X	NO	NO
Proceedings for protective/restraining orders	X	NO	X	NO	NO
<i>Tort lawsuits</i>	NO	NO	NO	NO	NO
Emergency visitation rights	X	NO	X	NO	NO
Batterers' intervention programs <i>**Provided programs are part of a graduated range of sanctions that use the coercive power of the criminal justice system to hold abusers accountable for their criminal actions and for changing their behavior.</i>	NO	NO	X	NO	NO
Victim-centered forensic interviews	X	NO	X	NO	NO
Traditional, cultural and alternative therapy/healing methods such as art therapy and/or yoga	X	X	X	X	NO

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	DASA
<b>FURNITURE/EQUIPMENT</b> <i>**Grants may be charged only a prorated share of an item that is not used exclusively for victim-related activities</i>					
<b>Automated systems and technology**</b> <i>**Subject to provisions of DOJ Grants Financial Guide (e.g., automated information and referral systems, email systems that allow communications among victim service providers, automated case-tracking and management systems, smartphones, computer equipment and victim notification systems as determined necessary by Victims' Services</i>	X	NO	X	NO	NO
<i>Lease or purchase of vehicle</i>	NO	NO	NO	NO	NO
Mobile communication devices**	X	X	X	X	NO
Telephones**	X	X	X	X	NO
Braille and TTY/TDD equipment**	X	X	X	X	NO
Computers and printers**	X	X	X	X	NO
Beepers**	X	X	X	X	NO
Video cameras and recorders for documenting and reviewing interviews with children**	X	NO	NO	NO	NO
Two-way mirrors**	X	X	X	X	NO
Colposcopes**	X	NO	NO	NO	NO
Digital cameras**	X	NO	NO	NO	NO
Equipment and furniture for shelters, work spaces, victim waiting rooms, and children's play areas**	X	X	X	X	NO
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	DASA
<b>TRAVEL/MILEAGE EXPENSES</b>					
Accompanying a victim to offices & court	X	X	X	X	NO
Transportation, meals and lodging to allow a victim who is not a witness to participate in a proceeding	X	X	X	X	NO
Transportation of victims to receive services and participate in criminal justice proceedings	X	X	X	X	NO
Local travel expenses for service providers	X	X	X	X	NO

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	
<b>DEVELOPMENT/TRAINING EXPENSES</b>					<b>DASA</b>
<i>Victim attendance at conferences</i>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>
<b>Skills training for staff</b> <i>**Training exclusively for developing the skills of direct service providers, including paid staff and volunteers (both VOCA-funded and not)</i>	X	X	X	<b>NO</b>	X
<b>Training materials</b> <i>**Including but not limited to: manuals, books, videoconferencing, electronic training resources and other materials and resources related to such training</i>	X	X	X	X	X
<b>Training related travel</b> <i>**Training related costs for in-State, region and national: meals, lodging, and registration fees for paid direct-services staff (both VOCA-funded and not)</i>	X	X	X	X	<b>NO</b>
Training program that has been or will be developed with input from and in collaboration with a tribal, state, territorial or local domestic violence, dating violence, sexual assault or stalking victim service provider or coalition as well as appropriate tribal, state, territorial and local law enforcement officials	<b>NO</b>	<b>NO</b>	X	<b>NO</b>	<b>NO</b>
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	
<b>REPAIR, REPLACEMENT &amp; RENOVATION EXPENSES</b> <i>**Grants may be charged only a prorated share of an item that is not used exclusively for victim-related activities</i>					<b>DASA</b>
<b>Costs of maintenance, repair or replacement of items that contribute to maintenance of a health or safe environment for crime victims**</b> <i>**Furnace in a shelter, routine maintenance, repair costs and automobile insurance for lease vehicles (as determined by Victims' Services after considering at a minimum, if other sources of funding are available)</i>	X	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>
Minor renovations such as painting or replacing carpet	X	<b>NO</b>	<b>NO</b>	<b>NO</b>	<b>NO</b>

## Quick Funding Guide - Allowable and Non-Allowable Expenses

Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	
COMMUNITY EDUCATION/PUBLIC AWARENESS					DASA
Development of presentation materials, brochures, newspaper notices and public service announcements	X	X	NO	X	X
<b>Outreach services</b> <i>**Increase awareness about the services, so that victims know where to go to receive services</i>	X	X	X	X	X
<b>Prevention/Education Services</b> <i>**Including outreach to underserved victims</i>	X	X	X	X	X
Category/Activity	Federally-Funded Victims' Services Grant Programs				State-Funded Program
	VOCA	FVPSA	STOP	SASP	
OTHER EXPENSES					DASA
Background/criminal screening for potential employees and/or direct service volunteers	X	X	X	X	X
<b>Background/criminal screening on victims/clients</b>	NO	NO	NO	NO	NO